



# LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT RECORDS RETENTION SCHEDULE

2010

Prepared by the Local Records Program  
Public Records Division

Approved by the State Archives and Records Commission



## GLOSSARY OF TERMS

### For Records Retention Schedules

<b>Permanent (P)</b>	Denotes records appraised as having historical, informational or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal or fiscal functions. These records may be destroyed <b>only</b> after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.
<b>Confidential (C)</b>	Records deemed unavailable for review by the public after applying the state's Open Records Law (KRS 61.878) and other state and federal statutes and regulations with specific restrictions. The (C) is added to appropriate record series descriptions as a reminder to agency personnel and does not bear any legal status. <b>It is important to note that the local government head has the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced.</b> Even though a record series may or may not be marked confidential on a records retention schedule, contradictory laws or regulations that are approved after the retention schedule has been completed may not be reflected but must be honored.
<b>Vital Record (V)</b>	Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility. Local Government should have a plan in place to identify those records and provide for their protection in case of a disaster (fire, flood, earthquake, etc.).
<b>Duplicates</b>	Duplicate records that have not been assigned a retention period and function solely as reference and informational material may be destroyed when no longer useful. If the duplicate is considered the "copy of record", it must be retained according to the retention period on the schedule.
<b>Destruction Certificate</b>	A destruction certificate should be used to document the destruction of public records and may be found, along with the instructions at the Kentucky Department for Libraries and Archives website ( <a href="http://www.kdla.ky.gov">www.kdla.ky.gov</a> ). It should be used when destroying records according to the appropriate records retention schedule. No record created or maintained by a local government agency may be destroyed unless it is listed on the retention schedule and a destruction certificate completed and the original copy sent to the Department for Libraries and Archives (Department).
<b>After Audit</b>	A term used in the disposition instructions to denote a records series that shall only be destroyed after the retention period has expired and an official audit has been performed. Example: 3 years and audit: This means that the record series must be kept for 3 years after last activity or date in a file. The record must have gone through the annual audit before it can be destroyed.

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**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Mayor

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5418</b>	Executive Orders	(V) This series documents orders issued by the mayor but not requiring board or commission action and/or approval. It may also document appointments not required by statute. This authority is given to the mayor by the merged government Charter.  Title, narrative, date, signatures, recommendations	P	Retain
<b>L5643</b>	Industrial Revenue Bond Committee File (C) KRS 61.878 (1) c 1.2.	This record series is used to document applications for industrial revenue bonds for new and expanding manufacturing projects. Urban County Government applies to the KY. Economic Development Finance Authority for approval of these bonds. These may be used to finance manufacturing projects and their warehousing areas, major transportation and communication facilities, most health care facilities, and mineral extraction and processing projects. Bond funds may be used to finance the total project costs including engineering, site prep, land, buildings, machinery and equipment, and bond issuance costs. The Kentucky Private Activity Bond Allocation Committee administers bonds regulated by the Internal Revenue Code. This committee approves issuance with tax free interest earnings, for qualifying projects.  This record series may contain correspondence, application, bank information, qualifications, transcripts provided by the dept. of law, memorandum of agreement, loan agreement, transaction statement, regulatory agreement and request for council action.	5	Destroy
<b>L5871</b>	Legislation Preparation Work Papers	This record series is used to document correspondence with council and others for the purpose of asking for changes in legislation or proposing new legislation. This is done by staff in preparation of presenting a proposal to council. Much of the information goes into producing the changes to legislation or into new legislation.  Correspondence, supporting documentation		Destroy when no longer useful
<b>L5644</b>	Urban Renewal Committee Project Files	This record series is used to document urban renewal projects considered by the urban renewal committee. This is a committee formed according to KRS Chapter 99. It is made up of five members appointed by the mayor to consider areas that are slums or blighted and are in need of improvement. This committee must work within the framework of an existing urban renewal plan and has the power to acquire and dispose of property, to issue bonds and other obligations, to borrow and accept grants from the federal government and to exercise the other powers provided in KRS 99.330 to 99.510. Most of these projects are financed by grants issued under the Federal Urban Renewal Act.  This record series may contain agendas, banking records, applications, reports, construction information and correspondence.		Destroy 3 years after the completion of the project

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Mayor

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5645	Enterprise Zone Program File (C) KRS 61.878 (1) c 1.2.	<p>This record series is used to document the approval and participation of businesses in the Enterprise Zone program. The program was established to revitalize economically depressed areas of the state with some areas being inner-city, some being rural. Goals and intentions of the program include improving the quality of life for individuals residing within the program by providing job training, employment opportunities, and neighborhood improvement programs; encouraging economic activity by assisting and maintaining existing business; stimulating the influx of new business; and, eliminating blighted and deteriorated areas that feature chronic abandonment or demolition of residential or commercial structures or property. The program provides for tax exemptions for certified businesses approved by the Enterprise Zone Authority pursuant to KRS 154.45-001 to 154.45-090. The exemptions are only for those businesses within the set enterprise zone or zone boundary. Lexington/Fayette Urban County Government Enterprise Zone of 7,000 acres was approved in 1985 and runs for a twenty-year period. It expires in 2005. If a business moves from the zone, goes out of business, is acquired by another that doesn't participate in the program, or is out of compliance for one reason or another, it is de-certified, at least until the appropriate steps are taken in order to continue in the program.</p> <p>This record series may contain the application, employee info (with SS#, names, addresses, unemployment dates--90 days prior to hire, part/full time employee, if he/she is a resident of the Enterprise Zone), certification, correspondence and monitoring of contract.</p>		Destroy 2 years after de-certification
L5646	Kentucky Economic Development Finance Authority (KEDFA) File (C) KRS 61.878 (1) c 1.2.	<p>This record series is used to document the application for approval for participation in the loan and tax incentive programs. KEDFA was established to encourage economic development, business expansion, and job creation by providing financial support through financial assistance and tax credit programs. This assistance is given through the Kentucky Jobs Development Act (KJDA) and the Kentucky Industrial Development Act (KIDA). Companies must apply through Urban County Government for this assistance. In turn the Urban County Government applies to this program for approval.</p> <p>This record series may contain copies of the application, correspondence, and company information.</p>		Destroy 2 years after business becomes inactive or in 10 years if business is active.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Citizens' Advocate Office

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5635	Complaint Case File	<p>This record series is used to document concerns of citizens. This office acts as an ombudsman or independent agent to investigate citizens' complaints, discloses any irregularities or abuses by urban county government or its employees, recommends policy changes to improve access to urban county government offices, suggests ways to strengthen the government system and provides callers with information and referrals. Citizens contact the office and a file is kept on each of these.</p> <p>This record series may contain correspondence, time/date complaint received, citizen name, nature of complaint or request and steps taken by the office to answer the complaint.</p>	2	Destroy
L5636	Index to Complaint Case File (V)	<p>This record series is used as a finding aid for the complaint case files. Each citizen call or correspondence is given a number which corresponds to the name.</p> <p>This record series may contain name of citizen, number of file and summary of the complaint.</p>	2	Destroy

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Council Clerk  
 Administration

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5435</b>	Official Minutes of Urban County Council (V)	<p>This record series is used to document all official actions, votes and proceedings of the Urban County Council. These are maintained in the Council Clerk. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.</p> <p>This record series may contain date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.</p>	P	Retain
<b>L5437</b>	Audio/Video Recordings of Urban County Council	<p>This series documents the actual proceedings of the public meetings held by Urban County Council. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.</p> <p>Actual recording of proceedings</p>		Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. Note: If minutes are challenged, recordings should be retained until resolution.
<b>L5438</b>	Ordinances (V)	<p>This record series documents an official action of Urban County Council, which is a regulation of a general and permanent nature and enforceable as a local law or is an appropriation of money. The ordinance shall embrace only one subject and shall have a title that clearly states the subject. No ordinance shall be enacted without two separate readings and publication in the local newspaper unless there is an emergency. The ordinances are to be recorded in a minute book or an ordinance book in the order adopted and indexed in a composite index or maintained in a code of ordinances.</p> <p>This record series contains the date, title of the ordinance, subject of the ordinance, members present, the body of the ordinance, # of the ordinance, signatures of the presiding officer and the person responsible for the safe keeping of the record.</p>	P	Retain

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Council Clerk  
Administration

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5439	Index to Ordinances	<p>This record series is used as a finding aid for the ordinances and may be by subject or key word identification. This series is maintained as part of the ordinance file.</p> <p>This record series may contain the subject of the ordinance, # of ordinance, name of ordinance, date passed, and where found.</p>	P	Retain
L5440	References to Ordinances	<p>This record series is used as a finding aid to ordinances and sometimes resolutions. These are abstracts of the ordinances and are linked to the ordinance by number. These are used in the advertisement of ordinances in the paper.</p> <p>This record series may contain the # of the ordinance, abstract of the ordinance, date passed.</p>	P	Retain
L5441	Resolutions (V)	<p>This series documents administrative history of appropriations, personnel actions, and board appointments. Orders have a pre-assigned number and are indexed separately from minutes. These are synonymous with Resolutions. A municipal or county order is an official act of the legislative body which is binding upon the officers and employees of the local government and any governmental agency over which the local government has jurisdiction. These do not have to be advertised in the paper in order for action to be taken.</p> <p>Order number, title, narrative, supporting documents, effective date, reading date(s), mayor's signature, city clerk certification</p>	P	Retain
L5442	Index to Resolutions/Orders	<p>This record series is used as a finding aid for the resolutions or orders issued by the legislative body. It is used in accessing the resolution or order file and book.</p> <p>This record series may contain the number of the resolution/order, date passed, subject and abstract.</p>	P	Retain
L5443	Code of Ordinances (V)	<p>This record series documents the ordinances passed by the legislative body. A code of ordinances is a reenactment of the body of positive local government law, read and interpreted as a whole, with the text arranged by subject matter and properly indexed.</p> <p>This record series contains the text of the ordinances, index by subject, date of passage, indexed alphabetical.</p>	P	Retain



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Council Clerk  
Administration

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5444	Proclamations	<p>This series documents special recognitions of local government events and/or persons. If action is taken by the legislative body the information is covered in the official minutes. Sometimes a proclamation is only issued verbally and no certificate is created.</p> <p>Date, narrative of proclamation, signatures</p>	P	Retain
L5445	Real Estate File (V)	<p>This record series is used to document all real estate transactions and holdings of the local government. These documents are for ownership and other land associated transactions. These include deeds to local government owned property, easements and right of ways.</p> <p>May include deeds, easements and right of ways along with any legal documentation.</p>	P	Retain
L5647	Contracts and Agreements (V)	<p>This record series is used to document the terms by which items and/or services were purchased and the responsibilities of each party.</p> <p>This record series contains the names of the parties involved, date issued, terms, expiration date, signatures and date signed.</p>		Destroy 15 years after completion or termination and audit (KRS 413.090)
L4920	Dockets for Council Meetings (V)	<p>This record series is used to document those items that will be presented at official meetings of the Council. This includes both regular and special meetings. This is a summary of what will be presented including ordinances, resolutions, reports, and announcements. The minutes will reflect the proceedings.</p> <p>This record series may contain the agenda which will include the roll call, invocation, minutes of previous meetings, presentations, mayors communication, reports, and public comments. This is an outline.</p>	5	Destroy
L4921	Exhibits (Official Meetings)	<p>This record series documents those materials used to illustrate items presented before official meetings such as zoning, planning, public hearings and others. These may be written material, statistical material (written, tables, graphs etc), drawings, maps, plats, layouts, and other. Some of these exhibits may be forwarded to other agencies within Urban County Government but most of it is maintained by the Council Clerk.</p> <p>This record series may contain written handouts, poster boards, graphs, tables, and demonstration material.</p>		Retain permanently those exhibits that are essential to the understanding of the official minutes. Destroy all others, including duplicates, when no longer useful.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Council Clerk  
Administration

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4922	Oath Books	<p>This record series is used to document those officials who must take an oath of office. These may include members of commissions, fire and police personnel, corrections personnel, citation officers and others.</p> <p>This record series may contain the name of the person taking the oath, signature, date, and information about the office.</p>		Destroy 2 years after leaving position
L4923	Publication of Legal Notices (V)	<p>This record series documents that a notice has been advertised by urban county government in a qualified newspaper with circulation/office in the area for the purpose of gathering news and soliciting advertisements an other general business of newspaper publications and has a second class mailing permit. The matters required to be published are financial statements, optional monthly or quarterly statements, city and county budgets, school district budgets, ordinances, bids for materials, supplies, equipment or services in excess of \$20,000. The publishing newspaper must submit an affidavit stating that an advertisement has been published and the times it was published and attach to a copy of the advertisement. Legal notices are required by KRS424.010 thru 424.990.</p> <p>The contents of the advertisement of a hearing, meeting or examination states the time, place and purpose of the same. An advertisement of an election states the time and purpose of the election; An advertisemet for bids or of a sale shall describe what is the be bid for or sold, the time and place of the sale or for the receipt of bids and terms of the sale; where any statute provides that, within a specified period of time after action by any governmental agency the time and place when and where action may be taken. This file may also contain the affidavit of publication by the newspaper.</p>	P	Retain
L4924	Bond Transcripts	<p>This record series documents the issuance of bonds for sale. This gives the progression of the issue from the time it is approved by the Council till closing. This contains the authorizing and financing documents and closing documents.</p> <p>This record series may contain the date of issue, title, authorizing documents, financing documents, opinions of counsel, tazx certificates, and closing documents.</p>	P	Retain

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Council Clerk  
 Ethics Commission

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5419</b>	Code of Ethics (V)	<p>This series documents compliance with the requirements of KRS 65.003(1) which states that the governing body of each city and county, including urban county and charter counties, shall adopt by ordinance, a code of ethics which shall apply to all elected officials of city or county, and to appointed officials and employees of the city or county government as specified. KRS 65.003 (4) requires that code of ethics may be amended but not repealed. Failure to comply may result in suspension of all services or funds to the governing body by state government.</p> <p>May include standards of conduct, requirements for creation of financial disclosure statements, employment policies, designation of responsibility for ethics code enforcement, instructions for distribution.</p>	P	Retain
<b>L5420</b>	Ethics Commission Financial Disclosure File (V)	<p>This series documents the source of income of the filer and the filer's immediate family members exceeding a predetermined amount during the preceding calendar year and the nature of the income. It also documents the name and the address of any business located within the state in which the filer or any member of the filer's immediate family had at any time during the preceding calendar year had an interest of a predetermined amount, or whether the governing body conducted business transactions with the filer/filer's immediate family during a prior three year period. Failure to file the financial disclosure statement may result in a charge of civil offense or filing a false financial disclosure statement may result in a charge of a misdemeanor offense.</p> <p>May include the name, address, telephone number, title of filer's office, office sought or position of employment, occupation of filer and filer's spouse, income, names and addresses of business/government related activities, designation of real property held by filer, plus name and address of gift sources and name and address of government creditors owed a predetermined amount.</p>		Destroy 2 years after termination of office or employment
<b>L5421</b>	Ethics Commission Advisory Opinions	<p>This series documents the written advisory opinions rendered concerning matters under local ethics code enforcement jurisdiction, based upon real or hypothetical facts and circumstances, upon its own initiative, or when requested by any officer or employee of the governing body who is covered by the ordinance.</p> <p>The narrative opinion providing a response to the requestor.</p>	P	Retain

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Council Clerk  
Ethics Commission

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5422	Ethics Commission Orders	<p>This series documents a formal action summarized in writing by the local ethics code enforcement authority to require persons to comply with the request outlined in the order. Examples of requests may be the persons submit in writing and under oath reports and answers to questions relevant to the proceedings, to order testimonies to be taken by deposition, require attendance and testimony of witness, and to require a person to cease and desist violations.</p> <p>A written narrative outlining a required action to be taken by the recipient.</p>	P	Retain
L5423	Ethics Commission Hearing File (V)	<p>This series documents the activities of the local ethics code enforcement authority in response to a formal complaint instituted under the provisions of KRS 65.003 (3) (d). Formal complaints must be filed within one year. If the authority finds no violation the subject of the complaint and party who filed the complaint are sent written notices. However, if the authority finds a violation it may issue an order to cease and desist, in writing, reprimand the violator and provide a copy to the governing body with which the violator serves. Further, the authority may recommend to the governing body that the violator be disciplined, dismissed or removed from office or impose a civil penalty or refer evidence of criminal violations to the appropriate jurisdiction for prosecution. Appeals may be made to the Circuit Court.</p> <p>Copy of complaint, hearing notice, orders, hearing transcript, correspondence, research notes, and disposition of case.</p>	25	Destroy
L5424	Ethics Commission Complaint/Investigative File (C) KRS 61.878(1)(a)(i)(j)(until settled)	<p>This series documents the investigation of any local elected official and or local government employee. Pursuant to KRS 65.003 (3) (d) the local code enforcement authority is responsible for the receipt of any complaints alleging possible violations of the code of ethics and or investigation of said violations as well as imposing penalties for verified violations. Each complaint must be in writing and the local ethic enforcement begins a preliminary inquiry into the investigations. After inquiry, the accused may respond. Until a final determination is made all proceedings and records are confidential per KRS 61.878. If Grounds for further action are found necessary a hearing is initiated or allegations could be pursued by appropriate authorities. If none are found, the complainant and the subject are notified.</p> <p>Complaint, summary of investigative finds, relative evidence, correspondence.</p>	6	Destroy
L5425	Ethics Commission Expense File -- (Duplicate)	<p>This series documents the request for reimbursement for expenses incurred by a designee of the local ethics code enforcement authority in an official capacity. These documents may be maintained as a separate file or as part of an expenditures file.</p> <p>Travel vouchers, invoices, and receipts.</p>	3	Destroy after audit

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Council Office

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5639</b>	Staff Research Files (V)	<p>This record series is used to document the research done by staff for each council member. This research is done for the purpose of informing and preparing each member for council meetings, committee meetings and work sessions where certain subjects or items are to be discussed. The Council employs its own administrative and research staff which include aides who work for specific council members. Twelve Council members are elected every two years. Each of these may serve no more than 6 terms. Three at large members are elected for four year terms and may serve only a total of 4 terms. These files are used extensively while active and give background information that may be important for upcoming regular bi - monthly meetings.</p> <p>This record series may contain correspondence, informational materials, copies of monthly reports, and supporting documentation.</p>	2	Destroy
<b>L5640</b>	Table of Motions (V)	<p>This record series is used to document those motions that are made during a council work session. The council members have a work session once a week which are open to the public. At these meetings the council members decide what actions will be presented at the formal Council meeting. Council staff members record and summarize the proceedings. A table of motions is part of the summarization. This is a finding aid for the motions that are presented and that will be presented at the next council meeting.</p> <p>This record series may contain the title of the motion, when given, by whom and summary of the motion.</p>	P	Retain
<b>L5641</b>	Summary of Meetings (V)	<p>This record series is used to document the work sessions, which are informal meetings conducted weekly where the council members decide what to bring before the Council and items to be discussed. A Council staff member records and summarizes the proceedings. This may be committee work sessions or council as a whole work sessions. This is a capsule of the meetings and is presented to the whole council at their regular meeting for their approval.</p> <p>This record series may contain the date of the meeting, items covered, council members present and a summary of the work session agenda.</p>	P	Retain
<b>L5642</b>	Packets for Council Members (V)	<p>This record series is used to furnish each council member information about business that is going to be conducted at a work session or committee meeting. This packet provides the information necessary for the council members to make informed decisions. There are four standing committees: The Planning Committee, the Intergovernmental Committee, the Services Committee and the Budget and Finance Committee which meet monthly. Packets are provided at the committee meetings as well as the work sessions.</p> <p>This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.</p>		Retain one copy permanently, destroy all others when no longer needed.

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Budgeting

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5469</b>	Budget Draft/Proposal (V)	This series serves as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until the final budget is approved.  Each fund & department's proposed budget, agency request, executive recommendations, 3 previous years' expenses, current year expenses, estimated expenses for current year		Destroy at end of current fiscal year and audit
<b>L5470</b>	Budget Workpapers (V)	This series documents the budget process and helps in the preparation of the proposed budget for submission to the approving legislative body.  Correspondence, working budget requests, computations, previous budget totals.		Destroy at the end of current fiscal year and audit
<b>L5471</b>	Annual Approved Operating Budget (V)	This record series documents the proposed revenues and expenditures for each agency within the local government based on solid projections. This is the final product which is adopted by the legislative body through the approval process. This budget is binding for the fiscal year.  This record series contains the projected revenues and expenditures for each agency, date, narrative, reconciliation and signature.	P	Retain 1 copy permanently
<b>L4925</b>	Record of Budget Amendments		P	Retain

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Community Development

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5625</b>	Grant Administration Files (V)	<p>This record series is used to document all federal and state grants managed by Community Development. The Division works with the public and private sectors in preparing grant applications for submission to state/federal agencies. The Division participates in activities related to community and economic development and administers merged government's housing rehabilitation activities through the Community Wide Housing Rehab Program (financial assistance to low to moderate income owner/occupants for the elimination of substandard housing) and the Home Housing Investment Partnership (to develop affordable housing).</p> <p>This record series may contain the application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.</p>		Destroy 3 years after submission of the final report and audit
<b>L5626</b>	Consolidated Plan (V)	<p>This record series is used to serve as a planning document for the Urban County Government's participation in the U.S. Department of Housing and Urban Development's community planning and development programs. The goal of these programs is to develop urban communities by providing decent housing and a suitable living environment and to expand economic opportunities for low and moderate income persons. This plan is for the fiscal year (July 1 thru June 30) documents the federal funding acquired through Community Development Block Grants, the HOME Investment Partnerships program, the American Dream Down payment Initiative, and the Emergency Shelter Grants program.</p> <p>This record series may contains what funds will be spent and how they are spent. The expenditure of funds for public improvement, public facilities, housing rehab, public services, first time homebuyer program, construction of new rental units, development of units for persons with special needs, tenant based rental assistance, homeless prevention, operational support for emergency and transitional housing, and planning and administration activities is documented.</p>	P	Retain one copy permanently
<b>L5627</b>	Chart of Accounts (V)	<p>This record series is used to document and identify those grants that are active. It is used as a finding aid for the grant files which are listed by number. It is updated periodically with the original being held by the Division of Accounting. This is a listing of all grants for Urban County Government.</p> <p>This record series contains the fund number, project name, period end date, department #, grantor agency, project manager, in house manager, report due date, comments and amount of grant.</p>		Destroy when updated

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Historic Preservation

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5617</b>	Property Survey Book	<p>This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks. These are properties that are in the historic districts. These are surveys along with inventory sheets. They are filed by street address within the historic district file. These are used extensively for any improvements to the property and to document the history of the property.</p> <p>This record series may contain the historic name, original owner, present owner, location, description, history, source of historic information, county, ADD, zoning classification, district name, status, whether on national register etc., architect who prepared the document, date completed and site plan.</p>	P	Retain
<b>L5618</b>	Historic District Property File	<p>This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks with more than 2000 properties. These are properties that are in the historic districts. This has all the information concerning changes made over time, and the history of the property. There is a file on each property.</p> <p>This record series may contain the address, name of owner, certificate of appropriateness, photos, drawings, any changes, application for changes and correspondence.</p>	P	Retain
<b>L5619</b>	Demolition Documentation File	<p>This record series is used to document a property that is to be demolished outside the historic district. This is research material to see if this property may come under the historic district designation.</p> <p>This record series may contain the address, name of owner, survey information, photos, sketches of buildings, negatives and building inspection report.</p>	P	Retain
<b>L5620</b>	Photographs/Slide File	<p>This record series is used in the initial phase of surveying a property or when application is made for inclusion into an historic district. This file is linked to the property file and is used in conjunction with it.</p> <p>This record series may contain the address, name of owner, survey information, photos, negatives, and link to property file.</p>	P	Retain



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5621	106 Review File	<p>This record series is used to document the review process designed to ensure that historic properties are considered during Federal project planning and execution. This is a determination that may result in grant money from HUD or other federal agencies. When there is possibility of damage or harm to historic districts or property by federal activities this review is done. If it is found that the property may be harmed there may be a chance of grants from HUD of other Federal agencies.</p> <p>This record series may contain the address, name of owner, survey information, correspondence. There are five steps in the review process: Identification and evaluation of historic properties, assessment of effects, consultation notes.</p>	3	Destroy
L5622	National Register Property Files	<p>This record series is used to document studies made of properties that are on the National Register. These are done by consultants. These proposed properties are nominated and a process is followed to see if they meet specifications to be designated an Historic Property. There are over 3,700 properties in Lexington on the National Register.</p> <p>This record series may contain the address, name of owner, survey information, correspondence, nomination, photos, history and building drawings/characteristics.</p>	P	Retain
L5623	Local Historic District/Landmark Designation Report	<p>This record series is used to report to the Board of Architectural Review when an area is applying to become an Historic District or if there is to be a change in an existing district. This report is issued by Historic Preservation through a consultant. This report goes through the process of being reviewed by the Planning Commission and ultimately by the Council.</p> <p>This record series may contain name of consultant, history of area, properties involved, boundary information, national register information, evolution of area, drawings, areas within the district, photos, and summary information.</p>	P	Retain

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5489</b>	Personnel File (Human Resources) (C) KRS 61.878 (3)(k) Change Date: 12/14/2006 (V)	<p><b>*RETENTION AND DISPOSITION INSTRUCTIONS:</b></p> <p>Destroy the following 60 years from date of hire:            1) Applications for positions 2) Name 3) Last known address 4) Social security # 5) Letters of resignation 6) Starting and ending dates of employment 7) Retirement information 8) Verification of positions held.</p> <p>Destroy the following 5 years after termination of employment:            1) Employee evaluations 2) Letters of intent 3) Sign off for reading of policies/procedures 4) Health/life insurance membership 5) I-9 verifying legal residency 6) Job descriptions 7) W-4 8) Copies of contracts 9) Leave records 10) Criminal background checks 11) Experience verification forms 12) Copies of driver's license and birth certificates 13) Resumes 14) General correspondence/memos 15) Complaints 16) Commendations 17) Disciplinary actions taken.</p> <p><b>FUNCTION AND USE:</b>            This record series is used to document an individual's employment with a local government. It is the master file and the primary source of their employment history. This file should document all the employment history which is deemed significant in determining job performance. These records are considered confidential according to KRS 61.870-884.</p> <p><b>CONTENTS:</b>            This record series may contain the application, resignation, exit interview, annual evaluations, attendance records, resume, disciplinary actions, worker's comp. Information, pension reports, copies of social security card, copies of immigration forms, education verification, correspondence and vacation and sick leave reports.</p>		
<b>L5490</b>	Personnel Medical File None	<p>This record series is used to document the physical condition of an employee when first hired and for subsequent medical related information. Used to document physicals taken by employees such as police, firemen, and others. This may include drug testing and screening, psychological profiles and CDL physical. These include blood test results as well. The volume and use of these records varies from local government to local government. These records are considered confidential according to the federal Privacy Act and KRS 61.870-884.</p> <p>This record series contains physical examinations, drug testing results, psychological profiles, and health information concerning the ability to do the work.</p>		Maintain while individual employed, after termination of employment place in the Personnel File.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5491	Personnel Training Program File (Human Resources) (C) KRS 61.678 (k)(3)	<p>This record series is used to document mandatory as well as voluntary training for employees. This may be for classes taken at a college or technical school or training given as part of the job description. This file also documents requests for training and approvals and payments for the training. This training also can be given in-house or by state agencies such as the Department for Local Government. There are mandatory training courses for the policemen and firemen. This file is confidential according to 61-870-884. Used especially when litigation may be brought by an employee for some sort of discrimination.</p> <p>This record series contains the employee agreement, grades, certificates of completion, and requests and approval for training.</p>		Destroy 3 years from the date of the making of the record or after litigation resolved, whichever occurs later (29 CFR 1602.30-31)
L5492	Hiring Procedures File (C) KRS 61.878 (k)(3)	<p>This record series is used to document information that is used in reporting to Equal Employment Opportunity Commission (EEOC). This is primarily for compliance with affirmative action guidelines. This sets out the groups of persons protected and letters received for testing and that positions have been filled according to EEOC guidelines. This file also may have police reports for individuals seeking employment.</p> <p>This record series contains the name of person , address, social security #, previous employer, reference confirmation, test scores, hiring information.</p>		Destroy 3 years from the date of the making of the record or after litigation resolved, whichever comes later. (29 CFR 1602.30-31)
L5493	Applications - Persons Not Hired (C) KRS 61.878 (k)(3)	<p>This record series is used to document those applicants who have applied for positions but not hired. It is used as a reference for possible filling of positions in the future.</p> <p>This record series contains the applicant name, address, telephone, social security #, questions about past employment, visa or immigration status, work availability, education, references, specialized skills, military service and signature.</p>		Destroy after 2 years or after close of litigation whichever comes later
L5496	Position Classification Documents File None (V)	<p>This record series is used to document each job classification and the requirements needed to hold a particular position. Used in the hiring of persons to fill positions.</p> <p>This record series contains the title of each job classification, qualifications, minium requirements, educaitional requirements, type of testing needed and certifications requested.</p>		Maintain 1 copy of each position classification permanently. Destroy excess copies when updated or superseded.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5494	Civil Service Exam File (C) KRS 61.878 (k)(3)	<p>This record series is used to document the exams taken by persons to fill positions. These must be advertised in the local paper. These tests are rented from the Internal Personnel Management Association and are returned to them along with the answer key. These tests are given only when there is a position to fill.</p> <p>This record series contains the list of applicants, applications, resumes, test, eligibility list, results, tear sheets and related correspondence.</p>		Destroy 3 years from the date of the making of the record or litigation resolved, whichever comes later.(29 CFR 1602.30-31)
L5872	Employee Grievance File None	<p>This record series is used to document grievances by employees concerning violations, misapplication or misinterpretation of specific provisions of employee/employer agreements. A grievance is a complaint filed by an employee which concerns some aspect of the conditions of employment over which the local government has control and which has occurred or which the employee has become aware, through the exercise of due diligence. Grievances may be channeled through the supervisory chain . This record series also includes EEO complaints which may be appealed to the State Personnel Board.</p> <p>This record series may contain the written complaint, conference summary, administrative decision, date , name, address, job title, investigative documents, exhibits, related correspondence, withdrawal notices and decisions.</p>		Destroy original 3 years after resolution. Duplicate files may be destroyed after resolution.
L5495	Workers' Compensation File (C) KRS 61.878 (k)(3) (V)	<p>This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees.</p> <p>This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.</p>	5	Destroy after claim settled

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L6383</b>	Unemployment Insurance Claim File (C) KRS 341.190(3)(a) Change Date: 12/9/2010	<p>This record series is used to document those claims made by Urban County Government former employees who qualify for unemployment benefits. They must have worked at least the first four out of the last five completed calendar quarters prior to the time that your claim is filed. They must have been determined to be unemployed through no fault of their own.</p> <p>As used Kentucky Revised Statutes 341.05 thru 341.990,"employing unit" means state or any department, division, administrative unit, political subdivision or municipality thereof, which has or subsequent to January 1, 1936, had one (1) or more workers performing services for it within this state, or one (1) or more workers performing services for it in covered employment in any state, or any successor to any employing unit defined in this subsection.</p> <p>This record series may include the notice of claim, employment verification, fact finding report, notice of decision, referee hearing notice, referee decision, correspondence and other information pertaining to the claim.</p>	5	Destroy after case closed and audit
<b>L6297</b>	Sworn Personnel Promotional Process File (C) KRS 61.878 (1)a	<p>This record series is used to document the promotional process for sworn personnel which includes police, fire and emergency personnel and community corrections.</p> <p>This record series may contain applications, eligibility tests, position interest form, examinations, oral interview scores, confidentiality agreement, training record, diplomas and record check.</p>	3	Destroy

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<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5473</b>	Individual Master Earning Record (V)	<p>This record series is used to document the total earning and withholdings of employees of the local government. This record is in electronic as well as paper format and is completed quarterly. This is the master copy of the earnings of the employees for the time they are employed by the local government. There are copies in different departments.</p> <p>This record series contains the employee #, employee name, employee title or classification, address, social security #, phone #, personal information, accounting, rate &amp; tax information, gross earnings, mandatory withholdings, voluntary deductions, hours &amp; earnings, net earnings, pay period, date of payment, garnishment and other related information.</p>		Destroy 70 years from date first employed
<b>L5474</b>	Yearly Payroll Register (V)	<p>This record series is used to document the earnings and withholdings of employees from pay period to pay period. This is a year to date accumulation of the payroll. This information is placed in the Individual Master Earning Record quarterly and this record is only used to quickly access payroll information. This record is a listing of all employees and easier to access than the Master File.</p> <p>This record series contains the run date, name of employee, gross pay, withholdings, rate of pay, year to date totals, total deductions.</p>	2	Destroy after audit
<b>L5475</b>	Monthly Summary of Wages Earned	<p>This record series documents the monthly summary of wages for local government employees contributing to the Kentucky Retirement System. Attached to the summary report is a check to cover both the employee contribution rate of 5% and the employer contribution rate of 7.95%. Unlike other wage statements submitted to state and federal agencies, this agency (Ky. Retirement System) does not require an annual reconciliation. However, the monthly summary has a listing of individual employees attached to it.</p> <p>This record series contains the agency #, period covered, total wages reported, employee's installment payment, employee contributions at 5%, total of installment payment and employee contribution, employer contribution at 7.95%, grand total for installment, employee and employer contribution, plus added payment for late reporting, city name, contact person, address, and phone #, certification that persons listed in report are full-time employees, date report filed, signature of reporting official followed by a listing of employees names with social security number, gross wages previous month, gross wages current month, installment purchase previous month, and installment purchase for the current month.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5476	Payroll Register for Each Pay Period (V)	<p>This record series is used as a reference to verify that all calculations for payroll of individuals is complete and accurate. This information is part of database that is used to complete the Individual Master Earning Record.</p> <p>This record series contains the pay period ending, name of employees, gross salary, net salary , withholdings, vacation and sick leave, totals of all salaries for a single pay period.</p>	2	Destroy after audit
L5477	Time and Attendance Record File (V)	<p>This record series is used to document the official time worked by the employees during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees.</p> <p>This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.</p>	3	Destroy after audit
L5478	Individual Payroll Authority File (V)	<p>This record series is used to document the authorization to produce a payroll for each employee for a given pay period. This file is used for payroll purposes only and is maintained for each employee. Included in this are all authorizations needed in order to produce the payroll.</p> <p>This record series contains the W-4, K-4, date of employment, position, payrate, pay period, appropriate tax information, authorized deductions, leave requests, record of credit checks from lending institutions, record of attachments or garnishments and health and welfare claims paid and time and attendance records.</p>		Destroy 3 years after termination of employment or 3 years after superseded and audit
L5479	Wage and Tax Statements/W-2 (V)	<p>This record series is the annual statement of wages and taxes paid an employee for federal and state tax purposes. The Internal Revenue Service requires an employer to prepare such a statement for each employee. The employee uses the statement in the preparation of the federal and state tax return. The local government maintains a copy in its file.</p> <p>This record series contains employer's I.d. number, control number, name, address, employees social security number, employee's name, address, wages and tips, federal income tax withheld, FICA, social security wages, medicare wages and tips, medicare tax withheld, social security tips, allocated tips, advance EIC payment, dependent care benefits, non-qualified plans, other, type of employee, employers state I.D. # state wages and tips, state income tax, locality name, local wages and tips, local income tax.</p>	5	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5480	Tax Payment Report Worksheet	<p>This record series is used to authorize the payment of all federal withholding from the bank. This is done telephonically with the actual payment sent electronically to the IRS. This takes the place of the Federal Tax Deposit Coupon Book and the written check. This is done after each pay period. Additional information is requested on this worksheet for Tax Form 720, 941, and CT-1 FTD Payment. If total deposits of income tax withheld and social security, medicare, and railroad retirement taxes are more than \$50,000 an employer must make electronic deposits for all depository tax liabilities that occur. This was started as of January 1, 1998.</p> <p>This series contains the steps necessary to send in the federal withholding to the IRS. This includes the federal phone #, taxpayer I.D. #, PIN #, menu selections to initiate a tax payment, tax type #, tax payment type, tax filing period, payment amount, verification code, tax payment settlement date, acknowledgement #, settlement date.</p>	5	Destroy after audit
L5481	Employee Direct Deposit Authorization	<p>This record series is used by the employee to authorize the direct deposit of their paycheck in the bank by the city.</p> <p>This record series contains the name of employee, name of bank, bank routing number, bank account number and signature of employee.</p>		Destroy when superseded or termination of employment
L5482	Transmittal Register of Direct Deposits	<p>This record series is used to document that the direct deposit has occurred. This is routed through the automated clearing house and run each pay period. The employee receives the payroll check stub.</p> <p>This record series contains the originating point, receiving point, date of transfer, time, type of service, name, entry count, amount, credits, debits, savings credits and file totals.</p>	3	Destroy after audit
L5483	Annual Return of Withheld Federal Income Tax (Form 945)	<p>This record series is used to report income tax withheld from nonpayroll payments. This includes pension, annuities, and IRAs, military retirement, gambling winnings, indian gaming profits, voluntary withholding, and backup withholding. All income tax withholding reported on Forms 1099, 1099R, 1099 Misc, or Form W-2G are reported on this form,</p> <p>This series contains the name of employer, address, I.D. #, federal income tax withheld, total taxes, total deposits, balance due, overpayment, monthly summary of federal tax liability, signature of employer and date.</p>	7	Destroy after audit



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5484	Form 1099	<p>This includes forms 1099-Miscellaneous and 1099-G. Form 1099 - Miscellaneous documents the income earned by vendors for supplies, service, equipment, office building rentals. City property tax and income tax and city licence refunds received by these vendors is also documented here. The IRS uses the information in these records to garnishee wages. This is a three part form. The top red copy(copy A) goes to the IRS, copy B goes to the payee and copy C is filed by the cityclerk/treasurer or finance officer in the city files. Form 1099-G documents unemployment compensation and state or ocal income tax refunds, credits, or offsets earned by vendors of the city. The copies of the form are distributed the same as the 1099-Miscellaneous.</p> <p>Form 1099-Misc contains Payer's name, street address city, state and zip, account #, 2nd TIN not., rents, royalties, prizes, award, federal income tax withheld, fishing boat proceeds, medical and health care payments, nonemployee compensation, substitute payments in lieu of dividends or interest, payee made direct sales of \$5,000 or more of consumer products t buyer for resale, crop insurance proceeds, state income tax withheld, and state/payers state number. Form 1099-G contains unemployment compensation, state or local income tax refunds, credits, or offsets, tax years, federal income tax withheld, discharge of indebtedness, taxable grants, agriculture payments, and the income from trader or business.</p>	4	Destroy after audit
L5485	Employer's Monthly Return of Income Tax Withheld	<p>This record series documents the monthly withholding of state income tax for local government employees by the local government. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.</p> <p>This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.</p>	5	Destroy after audit
L5486	Employer's Annual Return of Income Tax Withheld	<p>This record series documents the annual withholding of state income tax from the wages of local government employees. Included on the return is an annual reconciliation for the months January to December. The return also serves as the monthly return for December. Unlike the monthly return, this document will have K-2's Employee Wage Statements attached at the time of submission, in addition, the return has the December withholding check attached to it.</p> <p>This record series contains the employer name and address, period beginning, period ending, return due, account number, total number of employees this period, total withholding payments processed for the period January 1 to September 30 as of December 13, Annual Reconciliation providing total wages for the year, Kentucky Income Tax Withheld as shown on K2's, a Ky. Income tax withheld, previous adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature line, title line and date line, plus a statement of adjustments and credits, Attached to the return are the individual employee K2's (Wage Statements).</p>	7	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5487	Employer's Quarterly Federal Income Tax Return	<p>This record series documents the quarterly payment of federal income taxes plus Social Security and Medicare taxes paid to the IRS by a local government. Attached to the return will be a check to cover these payments.</p> <p>This record series contains the federal ID #, name of local government office and local government, address, number of employees, total of wages subject to withholding plus other compensation, total income tax withheld from wages, tips, pensions, annuities, sick pay, etc., adjustment of withheld income tax for preceding quarters of the calendar year, adjusted total of income tax withheld, taxable Social Security wages and tips, taxable Medicare wages and tips, total Social Security and Medicare taxes, backup withholding, adjustment of backup withholding, total taxes, advance earned income credit made to employees, net taxes, balance due, overpayment, followed by a listing of tax liability by pay period and by months in each quarter with grand totals, plus signature line, job title and date.</p>	5	Destroy after audit
L5488	Reimbursing Employer's Quarterly Unemployment Wage Report	<p>This record series documents the quarterly payment of unemployment insurance contributions by a local government to the Division of Unemployment Insurance. At minimum the report may be one page in length but could be far longer depending upon the number of employees. A check may or may not be attached to the report depending on whether the local government decides to file it with the report or separately.</p> <p>This record series contains the KY employer ID number, federal employer ID number, employee name, social security number, gross wages, total for the pages, totals for all pages, number of employees by quarter with monthly totals, previous amount due, total amount due, number of pages in the report, remittance attached yes or no, signature line, title line, address and telephone number, date.</p>	3	Destroy after audit
L5648	Family and Medical Leave Record File (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document those who apply for leave under the Family and Medical Leave Act (FMLA). Covered employers must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for maternity, for adoption, to care for an immediate family member, or because of a serious health condition. This file is maintained separately from other payroll and personnel records.</p> <p>This record series may contain the application, approval or denial letter, doctor's statements, payroll information and leave records.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5649	Disability Leave Files (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document those who apply for leave because of an existing disability. This disability may have been job related or other circumstances. This is a separate file and is used as a reference when doing payroll and to denote that this is a special disability case. These applicants may apply under the Americans with Disabilities Act.</p> <p>This record series may contain the leave request, doctor's statements, P1 to restore the time missed and employee directory information.</p>	3	Destroy after audit
L5650	Benefits File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document the benefits offered by Urban County Government to the employees and the application for those benefits. This file is used to verify beneficiary changes to insurance and other plans and to document what benefits an employee has elected to take.</p> <p>This record series may contain the application, benefits offered, copies of benefit changes and employee information.</p>		Destroy 3 years after termination of employment
L5654	Terminate/Warning List (C) KRS 61.878.(1)(a)	<p>This record series is used to document those employees who are scheduled to leave employment in the upcoming month. This may be those who have given notice to leave, those who are retiring or those who are terminated for other reasons. Some are on probation and will be terminated. This series is used to make the appropriate changes to the employment records.</p> <p>This record series may have the name of employee, work status, directory information, classification, date of hire and information concerning why the person is leaving.</p>		Destroy 1 year after update
L5655	Child Support Orders	<p>This record series are orders issued by the court for employees to pay child support. When these orders are received the information is put into the employees record for deduction from their pay.</p> <p>This record series may contain employee information, amount to be paid, when to be paid and directory information.</p>		Destroy when employee leaves or the order is terminated
L5656	Domestic Relations Report (C) KRS 61.878(1)(a)	<p>This record series is used to document the amount of money is paid to the Division of Child Support for each employee. This is done through payroll deduction and is completed each pay period. Some of these employees are court ordered to do this and others do it as a convenience.</p> <p>This record series may contain the name of employee, directory information, amount of payment.</p>	3	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Human Resources  
Payroll and Benefits

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5657	Classification Report	<p>This record series is used to document the exact classification of employees by Division. This is a reference in doing payroll.</p> <p>This record series may contain the name of employee, division, classification #, title, hire date, employee #, account #, grade, totals of each Division and totals of all employed by Urban County Government.</p>	2	Destroy
L5658	Garnishment Register	<p>This record series is used to document those who have had wages garnished. The appropriate notation is made concerning the payroll deduction and where the amounts are to be forwarded. This file is updated as garnishments come and go. Used to as a reference for inquiries from the IRS and state revenue.</p> <p>This record series may contain the amount of garnishment, employee's name, and time period.</p>	2	Destroy
L5659	Employment Verification File	<p>This record series is used to document that a person is employed by Urban County Government. There are requests from financial institutions when an employee is borrowing money and for background checks. This is only a statement that says a person actually works for Urban County Government.</p> <p>This record series may contain the employee's name, salary, time employed and directory information.</p>		Destroy when copied to employee's payroll file
L5660	Payroll Edits	<p>This record series is created to use as a double check when changes are made to employee's records. Using the P1 and other entry documents changes are made on a bi-weekly basis. This documents all adjustments and changes that may be made to an employees payroll on pay period basis.</p> <p>This record series may contain the changes made, direct deposit information, w4/k4 information, new p1 information, name of employee, directory information.</p>	2	Destroy after audit
L5661	Vacancy Report	<p>This record series is used to list all of the jobs that are authorized and filled at any given time. This report gives the salary and classification of each vacancy. This report is used primarily by the Director of Human Resources to keep track of vacancies. This report is by position number and does not include names.</p> <p>This record series may contain classification #, position title, civil service positions and those that are deemed unclassified.</p>		Destroy when updated

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Administrative Services  
Human Resources  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5662	Life Insurance Death Claims File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document information that is prepared to send to the insurance company when an employee or retiree dies.</p> <p>This record series may contain a copy of the death certificate, beneficiary forms and application for the life insurance.</p>		Destroy after claim is settled
L5663	Health and Dental Claims Payment (V)	<p>This record series is used to document claims made by employees for medical and dental services. This is done bi - weekly and a the claims are submitted to the appropriate insurance company.</p> <p>This record series may contain invoices, proof of claims draft, claims register, and disbursement requests. It will contain the name of employee and insurance information.</p>	3	Destroy after audit
L5664	Life Insurance Payment File (V)	<p>This record series is used to document the proof of payment of the group term life insurance premium to the insurance company. This is for both current employees and retirees.</p> <p>This record series may contain pay period, date, payroll reports, payments by employees, and total.</p>	3	Destroy after audit
L5665	401K Reports (C) KRS 61.878(1)(a)	<p>This record series is used to document payment into a 401K fund by employees. This report is used as a reference when inquiries are made and as proof that a payment has been made. This is done each pay period.</p> <p>This record series may contain employee name, position, amount, payroll reports, check copies.</p>	1	Destroy
L5666	Comp - Time Report	<p>This record series is used to document the amount of comp time accrued by each employee. This report is only used as a quick reference. Comp time will be a part of the time and attendance record and will also be on the year end payroll register.</p> <p>This record series may contain the name of employee, amount of comp time, pay period, and directory information.</p>	1	Destroy
L5667	Bi-Weekly Absentee Report	<p>This record series is used to document the absences for a pay period. This is used as a quick reference by staff when inquiries are made or there is a need to answer payroll questions.</p> <p>This record series may contain the name of employee, type of absence, amount of time taken and employee information.</p>	1	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Human Resources  
Payroll and Benefits

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5668	New Hire Report (C) KRS 61.878(1)(a)	<p>This record series is used to document any employees that are newly hired, rehired, or who return to work after a separation of employment. This mandated by the Social Security Act. The information that is reported is used in assisting the state in locating parents who owe child support or to identify recipients of public assistance and unemployment compensation who fail to report earnings. This report must be submitted no later than 20 days after an employee is hired, or returns. This report is transmitted electronically.</p> <p>This record series may contain the employee's name, address, SS#, employer's name, payroll address, federal id #, date of hire, date of birth, and other information.</p>	3	Destroy

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Purchase of Development Rights Program (PDR)

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5628</b>	Appraiser File	<p>This record series is used to document those persons who contract with the Rural Land Management as appraisers in the process of determining the value of land. These persons apply to be on the list and must submit qualifications. They must be a licensed real estate appraiser who is qualified to appraise property for easement purchase. A file is maintained on each appraiser. Payroll information is maintained by the Division of Human Resources.</p> <p>This record series may contain qualifications, request for qualifications, hiring information, pay, name, address, phone, email and copy contract.</p>		Destroy when no longer useful
<b>L5629</b>	Appraisals (V)	<p>This record series is used to document the appraisal for a conservation easement completed by a qualified appraiser. If the rural land staff and the landowner reach an agreement as to the terms of the proposed deed of easement this appraisal is completed. The cost is paid by the Rural Land Board. The appraisal is completed and a copy is sent to the landowner with a letter advising that within 30 days the landowner must agree with the appraisal, withdraw the application or get an independent appraisal.</p> <p>This record series may contain a legal description of the land, description of improvements, photos of the land, sketch of the parcel of land, public or private land use restrictions, analysis of the best use of the land, valuation methodology used to determine value, market value, the conservation easement value of the land, and the value of the buildings on the land.</p>		If a conservation easement is purchased retain permanently, if not retain 2 years and destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Purchase of Development Rights Program (PDR)

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5630	Farm Application File (V)	<p>This record series is used to document the owners of farms who are offering to sell to the Rural Land Board or the Lexington/Fayette Urban County Government a conservation easement in eligible land. In order for the application for a conservation easement to be considered it must meet certain criteria. 1)The applicant must have good, marketable, fee simple title 2) the land must be located entirely within either the core agricultural and rural land category (CARL) or the natural areas category (NAT) land use categories 3) any non-conforming or non-agricultural use shall be excluded 4)must be at least 20 acres 4) landowners must agree for the duration of the easement to maintain a land conservation plan and/or forest stewardship plan. These applications are reviewed by the rural land staff and ranked according to certain criteria. If an offer is made by LFUCG the owner may accept or refuse. If the owner refuses the offer the application file becomes inactive. If the owner accepts the offer the easement is purchased and a deed is executed by the landowner.</p> <p>This records series may contain name of owner, address, contact information, property information including location, if there are multiple tracts, deed information, conservation easement information, map of property, description of agricultural production, statement by the landowner of any contingencies which may effect the property such as health, financial stress etc., statement by the landowner agreeing to allow inspection and appraisal of the land, list of encumbrances, existence of any surface or mineral leases, and filing fee.</p>		Destroy inactive files after 5 years, retain purchased files permanently
L5631	Farm Application File (Rejected)	<p>This record series is used to document that an application has been submitted by a landowner for the purpose of offering to sell an PDR easement to urban county government. There are certain criteria that must be met in order to qualify and if they aren't the application is rejected.</p> <p>This record series may contain the owners directory information, land information, plans.</p>	1	Destroy



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Planning

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5500</b>	Comprehensive Plan and Adjustments	<p>This record series is used to document plans for the future growth and development of a community or county. The comprehensive plan covers all geographic parts of local governments and all aspects that affect physical development. The plan is considered a summary of policy and procedure and is not necessarily a mandate that all of the plans be carried out. It strives to present a 20 year vision of the future for the local government and what steps it will take to make that vision happen. It is required by KRS 100.183.</p> <p>Introduction, Base Study, Issue Analysis, Goals &amp; Objectives, Land Use Plan, Transportation Plan, Community Facilities Plan, Implementation.</p>	P	Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
<b>L5501</b>	Subdivision Regulations (V)	<p>This record series documents requirements for the subdivision of land for industrial use, commercial use, farms into tracts for residential use. These regulations are usually compiled with the assistance of the Area Development Districts or it can be a solo effort on the part of a planning and zoning commission and the legislative body.</p> <p>Definitions, purpose statements, subdivision classes, requirements for plat submission, design standards, physical improvements, general provisions</p>	P	Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
<b>L5502</b>	Site Development Plan File (V)	<p>This record series documents the application with zoning boards or commissions for permission to construct a multi-family dwelling, a commercial building, an apartment complex, or any other structure that is under the jurisdiction of this governing body. The developer is required to submit a plan indicating all physical information regarding his intentions to develop. The board is then responsible for deciding if all zoning requirements are adequately met within the submitted plan. After the project is completed, this information is used as reference and/or for historical purposes only.</p> <p>Date, name of developer or development company name and address, architectural or engineering drawings and plans, other required plan information</p>	P	Retain

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Planning

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5503	Master Map (V)	<p>This record series is used to document the zoning designation for all areas within a zoning board or commission jurisdiction. It also provides the geographic dimensions of each particular zone.</p> <p>Date, legend, zone specifications, geographic detail of each zone</p>	P	Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
L5504	Maps, Plats, Plans and Drawings File (Planning & Zoning) (V)	<p>This record series documents the planning and zoning areas within the city and may be preliminary maps and plats of all zoning and may also be maps of certain areas within the city. These are used in the zoning and building process.</p> <p>This series may contain the preliminary maps, plats, plans and drawings. Also may include the final zoning of distinct areas within the city. Includes the date, names and areas.</p>	P	Retain

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Risk Management  
 Claims

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5585</b>	Workers' Compensation File (C) KRS 61.878 (a) (V)	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees.  This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.	5	Destroy after claim settled
<b>L5586</b>	General Liability Claims (C) KRS 61.878 (a) (V)	This record series is used to document those claims by a third party against the Urban County Government or its employees and should be reported to Risk Management Claims within three working days of notice to the Division. This may be any claim other than the ones listed that are brought by a third party, including those involving government employees.  This record series contains the injury/complaint report, medical determinations, summary of claim, police report if necessary.		Destroy 5 years after claim is settled. If a minor when he/she reaches 23 years of age.
<b>L5587</b>	Auto Liability Claims (C) KRS 61.878 (a) (V)	This record series is used to document claims where an Urban County Government vehicle has damaged or injured a third party and should be reported within three days to Risk Management by the employee.  This record series contains the injury report, medical determinations, summary of claim, type of damage or injury, date, time, police report, if needed, and other supporting documents.		Destroy 5 years after claim is settled. If a minor when he/she reaches 23 years of age.
<b>L5588</b>	Auto Physical Damage Claims (V)	This record series is used to document claims where an Urban County Government vehicle has been damaged and should be reported within three days to Risk Management by the employee. These are claims where third parties are not involved.  This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.	2	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Risk Management  
Claims

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5589	Property Damage Claim File (V)	<p>This record series is used to document claims where an Urban County Government vehicle has been damaged or has damaged property and should be reported within three days to Risk Management by the employee. This is a demand for payment for insured loss to physical property, independent of liability or bodily injury.</p> <p>This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.</p>	2	Destroy
L5590	Accident Review Committee Report (V)	<p>This record series is used to document the reviews of accidents that may be in question. This committee, which is made up of Risk Management personnel, with input from the Law Department determines fault issues and what procedures should be taken in particular accidents. This committee meets as needed. This report is made to the Division Director.</p> <p>This record series contains the issues involved, summary of claim, type of damage, date, time, police report, if needed, recommendations and other supporting documents.</p>	2	Destroy
L5591	Third Party Administrator (TPA) Contracts (V)	<p>This record series is used to document an agreement between Lexington Fayette Urban County Government and a third party, which is an outside agency or individual responsible for claims adjustment and administration for the self insured government. Urban county government has contracted with two TPAs, one for worker's comp. and one for auto and general liability claims.</p> <p>This record series may contain the name of the third party, name of insured party, agreement details and duration of agreement.</p>		Destroy three years after termination of agreement
L5592	Claim File Audits and Responses	<p>This record series is used as quality control to make sure that all claims are maintained and serviced according to best practices. This is done annually and is only used by Risk Management to police themselves.</p> <p>This record series may contain a general overview of the claims, how they were handled, who was responsible for the audit, and the responses made.</p>	3	Destroy
L5808	Insurance Policy File (Property and Casualty) (V)	<p>This series documents a contract between LFUCG and an insurance company whereby for a stipulated consideration, the company agrees to compensate the other for loss against a specified action or event. According to KRS 413.120 actions taken against the provisions of the policy must be made within a 5 year period. These are primarily property and casualty policies.</p> <p>This record series contains th policy, correspondence, supportive claim documents.</p>		Destroy 5 year after cancellation or expiration and audit.

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Administrative Services  
 Risk Management  
 Safety and Health

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5593</b>	Training Records (Employees) (C) KRS 61.878 (k)(3)	<p>This record series is used to document training given to employees from the first time employed and throughout their employment. This training is stressed by OSHA and should be done to outline all contingencies that may occur in a work environment. These training procedures are defined for the areas of employee orientation, blood borne pathogens, infectious disease, confined spaces, lockout/tagout, hazard communication and hot work permit.</p> <p>This record series may contain the training procedures, name of employee, training, date, time, and supporting documentation.</p>	3	Destroy
<b>L5594</b>	Occupational Safety & Health Administration (OSHA) Logs	<p>This record series is used to document work related injuries and illnesses and is mandated by the U.S. Department of labor. This is to be maintained by all Divisions in Urban County Governments. All work related injuries or illnesses are documented.</p> <p>This record series may contain the case number, employee name, job title, date of injury or onset of illness, where the event occurred, description of illness or injury, classification of the case, number of days on the job or away from work, establishment name, date and city.</p>	5	Destroy
<b>L5616</b>	Occupational Safety & Health Administration (OSHA) Annual Summary	<p>This record series is completed annually to report to OSHA the number of cases, number of days away from work, and the injury and illness involved. This is a statistical report and must be completed and signed.</p> <p>This record series may contain the number of cases, total number of deaths, number of days missed, injuries, skin disorders, respiratory conditions, poisonings, facility info, employment information and a certification.</p>	5	Destroy
<b>L5595</b>	OSHA Inspections & Investigations	<p>This record series is used to document OSHA inspections of facilities and if there are special investigations into possible safety violations the documentation is in this file.</p> <p>This record series may contain the date, time, inspector name, overall evaluation, violations, conclusions of investigations, remedies, deadlines and signature of inspector.</p>	5	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Administrative Services  
Risk Management  
Safety and Health

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5596	OSHA Surveys	<p>This record series is used to document routine surveys taken to satisfy OSHA requirements. This may be for special injury or illness causing problems such as workplace hazards or air contaminations. These are conducted by Urban County Government at the request of OSHA.</p> <p>This record series may contain the date, time, overall evaluation, description of survey, where surveyed and by whom.</p>	5	Destroy
L5597	Job Hazard Analysis File	<p>This record series is used to document that there has been an inspection of an area looking for possible hazards that may result in injury of health. This is a summary of information received from different areas in Urban County Government. This is mandated by OSHA and is done annually.</p> <p>This record series may contain the date, time, inspector name, area inspected, listing of hazards and what was done to remedy.</p>		Destroy when updated or no longer applicable
L5598	Personnel Protective Equipment File	<p>This record series is used to document the protective equipment that certain employees have to use in their jobs such as construction, fire, ems etc. This updated periodically to make sure all are in compliance with OSHA standards.</p> <p>This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.</p>		Destroy when updated or no longer applicable
L5599	Loss Prevention Surveys, Audits, Evaluations and Inspections File	<p>This record series is used to document the a physical plant audit of a facility for the purpose of fire protection. This would include the checking of fire extinguishing equipment and anything that is involved in fire protection.</p> <p>This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.</p>	5	Destroy
L5600	Divisional Safety Inspections	<p>This record series is used to document that there has been an inspection of areas for all safety issues. This is done on the division level periodically to make sure they are compliant with those safety guidelines issued by Risk Management.</p> <p>This record series may contain the date, time, inspector name, area inspected, and any safety areas that are not in compliance.</p>	3	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5601	Asbestos Exposure File	<p>This record series is used to document personnel who have been exposed to possible high levels of asbestos. Usually the exposure to asbestos is at the time the abatement team is cleaning out asbestos in government owned buildings. It may take a long period of time (estimated by OSHA to be 25 to 30 years) for the contamination to have an adverse on ones health.</p> <p>This record series may contain the date, time, hazard exposed to , duration and where it happened.</p>		Destroy 30 years after termination of employment
L5614	Hazardous Materials Exposure File	<p>This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.</p> <p>This record series contains date of exposure, amount, time, type of exposure and actions taken.</p>	30	Destroy
L5602	Sampling and Testing File	<p>This record series is used to document that there has been testing and sampling of areas in the government buildings. The sampling and testing is initially done by the Division of Building Maintenance and Construction staff. They are responsible for asbestos abatement and when this is done in an area the sampling and testing information is forwarded to Risk Management. When all the government buildings were initially checked in 1988 to see if there was asbestos contamination, samples were taken and areas disiganated as being contaminated. All of the areas showing high levels of asbestos were abated. When property is acquired samples are taken and tested. The findings of the Division of Building Maintenance is often cross checked by Risk Management. The areas are spot checked to see if they are within safety limits. This testing and sampling is also done for radon, particulates.</p> <p>This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.</p>		Destroy 30 years after building demolished or asbestos abatement
L5603	Noise Exposure File	<p>This record series is used to document exposure to unhealthy level of noise as determined by OSHA. When there is a complaint that there is excess noise in the workplace, measurements are taken and charts supplied by OSHA are used to determine if levels are harmful. If it is determined to be a health risk it must be remedied.</p> <p>This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.</p>		Destroy 2 years after termination of employment

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Administrative Services  
Risk Management  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5604	Toxic or Flammable Gases/Vapor Sampling and Monitoring File	<p>This record series is used to document that continuous testing of areas for any toxic or flammable gases. These do not have chronic consequences as determined by OSHA.</p> <p>This record series may contain the date, time, amounts, readings and area taken.</p>	2	Destroy
L5605	Indoor Air Quality File	<p>This record series is used to respond to complaints from workers in areas where there may be a problem with the air. This involves the testing for CO2, humidity, temperature, and mold.</p> <p>This record series may contain the date, time, amounts, readings and area taken.</p>	10	Destroy
L5606	Ergonomic Evaluation File	<p>This record series is used to respond to complaints from workers in areas where there may be a ergonomic problem. The situation is surveyed and recommendations are made. This record is used when claims are made by employees that because of their work they have sustained back, wrist, or other physical chronic ailments.</p> <p>This record series may contain the date, time, division, area, description, summary, conclusions and remedies.</p>	10	Destroy
L5607	Job Site Inspections and Audits	<p>This record series is used to document overall inspections of job sites. These are done periodically and may result in action being taken. This is done as a preventive measure.</p> <p>This record series may contain the date, time, division, area, description, summary, conclusions and remedies.</p>	5	Destroy
L5608	Facility/Site Records	<p>This record series is used to document all Urban County Government facilities and sites and possible environmental problems. These are layouts of these facilities and the history of problems or improvements made. These are essentially facility files which contain the environmental history of that facility.</p> <p>This record series may contain the name of facility, address, function, drawings, any complaints registered, environmental work completed, and issues concerning air quality and work environment.</p>	P	Retain



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Risk Management  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5609	Environmental Training Records	<p>This record series is used to document the training given by the Safety and Health section to offices throughout Lexington/Fayette Urban County Government. This training is done to inform and to provide guidance in sound environmental best practices.</p> <p>This record series may contain the name of training, date given, audience and certification.</p>	10	Destroy
L5610	Federal Energy Efficiency Partnerships	<p>This record series is used to document those federal programs that promote energy proficiency. They include the Energy Star Partnership which is a program managed by the EPA and Dept. of Energy. It is a labeling program designed to identify and promote energy efficient products, in order to reduce carbon dioxide emissions. Also the Rebuild America Partnership which is a US Dept of Energy program to build partnerships among communities, states and the private sector to improve building performance.</p> <p>This record series may contain the procedures, agreement, federal guidelines and assistance, correspondence and informational material.</p>		Destroy when new agreement is initiated
L5611	Government Wide Environmental Initiatives	<p>This record series is used to document those government wide programs that promote better environmental policies with the private sector. These include recycling and the universal waste program. The records are maintained by Risk Management for informational purposes and to document all policies and procedures.</p> <p>This record series may contain the procedures, periodic reports, program initiatives, and those who participate.</p>		Destroy when no longer useful
L5612	Petroleum Underground Storage Tanks (UST)	<p>This record series is used to document the Urban County government's underground storage tanks for hazardous chemicals. This is the registration file and is used to document any changes in the facility. This also documents what type of chemicals are stored and the maintenance on those facilities.</p> <p>This record may contain the address, capacity, registration with the state, type of chemical, and maintenance.</p>		Destroy 3 years after tank is removed

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5613	Tier II Emergency and Hazardous Chemical Inventory Submittals(Community Right to Know)	<p>This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.</p> <p>This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.</p>	3	Destroy
L5615	Material Safety Data Sheets (MSDS)	<p>This record is used to document that a data sheet has been submitted for each hazardous chemical received by employers and must maintain it on file. These must be readily available to the employees. This record documents where the chemicals are used and where they were used and for how long.</p> <p>This record series contains name of employer, address, chemical, quantity, summary of use, where they were used, date, and certification.</p>	30	Destroy

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Administrative Services  
Tenant Services and Housing Counseling Office

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5632</b>	Client Files (C) KRS 61.878 (1)(a)	<p>This record series is used to document those who apply for the services provided by this office. This agency provides counseling referrals and information concerning housing. The agency acts as an advocacy center for low to moderate income individuals who experience a range of housing problems including issues of quality of housing, affordability, legality and discrimination. This office has been a HUD certified comprehensive housing counseling agency since 1989. The main types of service provided are: 1) Renter/tenant assistance, finding re-location housing or temporary housing, homeless prevention, emergency resources for rent, utilities, security deposits, food, furniture and money management counseling. 2) Tenant/Landlord Counseling 3) Lawyer services for notices to vacate, evictions, representation in court, appeals and landlord-tenant mediation 4) Homeowners assistance with mortgage default, foreclosure prevention counseling, pre-homeownership counseling, and home equity conversion mortgage.</p> <p>This record series may contain name of client, address, correspondence, medical statement, confidentiality statement, social security number, banking information, land ownership documentation.</p>	4	Destroy
<b>L5633</b>	Client Index (C) KRS 61.878 (1)(a) (V)	<p>This record series is used as a finding aid for the clients that are actively being served by the office. This file is both in a card index and in electronic form. This is not only used as a finding aid but as a quick reference for information concerning a client.</p> <p>This record series may contain the name of the client, address, social security number, location in file, type of service, list of visits, intake data, income.</p>		Delete client name when client file is destroyed.

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Finance  
 Accounting

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L3198</b>	Bond Register (Record of Bonds) (V)	<p>This record series documents each bond issue and subsequent activity. It is a record of when the bonds are issued and when they mature. This gives a history of debt service.</p> <p>This record series contains the name of issuer, name of series, date, denomination, numbers, interest rate, first interest coupon payable on, coupon payable thereafter on, at which bank payable, amount issued, bond numbers, number of bonds due, denomination of bonds due, maturity dates, funds sent paying agent(date fund sent, amount sent, including agents charges). Record of interest coupons: bond numbers, date cancelled, interest coupon numbers.</p>	P	Retain
<b>L3199</b>	Certificate of Disposal for Bonds and Coupons	<p>This documents all bonds and coupons that have been retired and destroyed. It is used for auditing purposes and records the date of maturity, series category, number of coupon, face value, and number of pieces.</p> <p>This record series contains: Name of issuer, name of issue, series, date of issue, amount of issue; For matured coupons: number of coupon, face value each piece, number of pieces, date of maturity; For matured bonds: number of bond, face value each piece, number of pieces, date of maturity; destruction certification, dated and signed by destroyer and witness.</p>	P	Retain
<b>L3200</b>	Paid Bond and Interest Coupons	<p>The bonds and interest coupons are received by the Division of Accounting when they have matured and have been presented for payment. The coupons are cancelled by the bank when paid. Cancelled bonds and coupons are received monthly along with a bank statement. The bonds/coupons are reconciled each month just as the other accounts are.</p> <p>This record series contains the issuer, purpose, amount, interest rate, trustee, date of issue, payable date, description, certification. Coupon: statement, date, coupon number, amount.</p>	3	Destroy after audit
<b>L3201</b>	General Ledger (V)	<p>The General Ledger documents all specific account transactions for each month including receipts, expenditures, investments, grant awards, inventory records, purchases, and distribution, and gives monthly beginning and ending account balances for all funds and account groups. It is the primary accounts management tool. In addition to accounts management, the general ledger is used for reference and auditing.</p> <p>This record series contains account number, description, check number, source, purchase order number, journal entry number, current period and balance, and date.</p>	3	Destroy After Audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Accounting

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3202	Equipment Fixed Assets Ledger (Inventory of Equipment) Change Date: 3/10/2005	<p>This is a register of equipment purchased, cost and value, and the account debited for its purchase. It is used for inventory purposes. This ledger is for the entire LFUCG and includes all equipment which cost \$500 and above including: computer equipment, office furnishings, rolling stock, tools, radios, horses &amp; dogs, playground equipment. The primary purpose for maintaining this record is for accountability. Fixed assets are reported in financial statements, a subsidiary record.</p> <p>Inventory Tag (sticker) Number, Value, Description, Serial Number, Building Number, Room, Fund-Dept.-Account, Date, Cost</p>	3	Destroy After Audit
L3203	Year-To-Date General Ledger Journal (Year-to-Date Transaction Listing) (V)	<p>This record series documents all transactions by fund and account group for the fiscal year. It is used as reference for past transactions and to verify those for the current fiscal year. Also used to document the audit process and in the management of the funds and accounts.</p> <p>This record series contains the account number, description of transaction, reference-(cash receipt #, check#, journal entry#), date, project#, line #, amount, purchase order number, totals by line number, account number, program number, general ledger account number, and fund total.</p>	5	Destroy after audit
L3204	Subsidiary Ledger	<p>This record series documents detailed information on selected general ledger accounts, i.e. petty cash, receivables, reserves, due to and from other funds, etc. It documents which divisions have funds in each category and how much. It is used to reference in detail the general ledger summaries.</p> <p>This record series contains the accounting numbers, description, date, source, purchase order number, amount, account balance, general ledger balance by fund.</p>	3	Destroy after audit
L3205	Journal Entries (General Journal)	<p>Journal entries are used to document account transactions on a monthly basis. This form is used to make entries into the General Ledger. They are manually prepared and keypunched. This is a manual system, where purchase orders and payroll are automated. Journal entries are used for all transactions not entered automatically. Journal entries are used for auditing and reference.</p> <p>This record series contains: Account Number, Purchase Order Status, Description, Vendor Number, Debit, Remarks, Credit, Month and Year, Purchase Order Number, Journal Number, Line Number, Page Number, Project Number.</p>	5	Destroy After Audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Accounting

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3206	Refund Check List	<p>This is a listing of refund checks written. Examples of reasons for receiving a refund include payroll taxes paid by people over 60 or overpayment of license fees. This list should be retained for the same period as the accounts payable vouchers because it references the vouchers file if reference is made by check/voucher number. This record is not currently being created as a unique record. It is a closed record as of FY1992.</p> <p>This record series contains the account number, vendor, date, source, payee, document number, check number, and amount.</p>	5	Destroy after audit
L3207	Manual Check List Closed Date: 6/30/1992	<p>This record lists manually issued checks (as opposed to check issued by the computer system). Manual checks are checks manually prepared for payment to vendors for services rendered or goods received during the interim of computer generated check issuances. The register is used for auditing and reference purposes by the Division of Accounting. This list accesses the accounts payable vouchers if reference is made by check/voucher number. Therefore, it should be kept for the same period as the vouchers file is kept. This list is no longer created as a unique record. It is a closed series as of FY1992.</p> <p>This record series contains the account number to debit, vendor, date, source, check number, amount, purchase order number.</p>	5	Destroy After Audit
L3208	Check Register (V)	<p>The check register is a listing of each check issued. It is used to reconcile bank statements with the general ledger.</p> <p>This record contains: Date, Check Number, Amount, Totals.</p>	3	Destroy after audit
L3208	Check Register (V)	<p>The check register is a listing of each check issued. It is used to reconcile bank statements with the general ledger.</p> <p>This record contains: Date, Check Number, Amount, Totals.</p>	3	Destroy after audit
L3209	Check Reference by Payee List (Accounts Payable by Vendor) (V)	<p>This list documents all payments made to any source by the LFUCG, payroll excluded. It is an alphabetical listing by payee name. This is used to reference payments. this list accesses the accounts payable check vouchers which are arranged by number.</p> <p>This record series contains the account number charged, vendor name, check date, invoice number, accounts payable check number, amount, purchase order number, fiscal year total by vendor.</p>	5	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3210	Cancelled Checks	<p>These are checks issued to employees and vendors. Cancelled checks document expenditures and are needed to reconcile monthly bank statements. They are also used for auditing and reference. Cancelled checks are microfilmed by the LFUCG.</p> <p>This record contains: Date, Name, Address, Check Number, Amount, Authorized Signature.</p>	5	Destroy After Audit
L3211	Bank Reconciliation	<p>This record documents that the bank statement is reconciled with the general ledger.</p> <p>This record series contains: Bank balance, outstanding deposits and checks, general ledger balance, returned checks, corrections &amp; adjustments, unrecorded interest. Name of fund, date, month.</p>	3	Destroy After Audit
L3212	Bank Statements	<p>This records series documents the status of the all funds/accounts. It is used to reconcile bank accounts. Deposit slips are attached to statements.</p> <p>This record series contains the statement period, bank name and address, LFUCG name and address, statement of accounts, balance forward, credits, debits, total debits, fee, closing balance. Checking account transactions, date, balance, date. checkbook reconciliation.</p>	3	Destroy after audit
L3213	Accounts Payable Check Vouchers	<p>This record series documents the bill paying process and each bill which has been paid. This file consists of the check copy (carbon copy of the check issued to the vendor by LFUCG) and supporting documents such as copies of the vendor invoice, purchase order, receiving order, fuel receiving order. The Division of Accounting pays vendor invoices after the Division of Purchasing has authorized the purchase. The receiving division forwards to Accounting the receiving copy of the purchase order, which authorizes payment. It is matched with the invoice received from the vendor. All supporting documents are attached to the check voucher.</p> <p>This record series contains check vouchers: check (top portion): Payee name and address, check number, payor name, amount, bank account name and number, check date. Register (bottom portion): invoice date, invoice number, purchase order number, account number, amount. Supporting documents attached.</p>	5	Destroy After Audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Accounting

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3214	Manual Check Vouchers	<p>Manual checks are checks manually issued to vendors for services rendered or goods received during the interim of computer generated check issuances. Manual checks are primarily issued to transfer money between bank accounts. The check voucher is a copy of the check/check stub with attachments such as: cash disbursement request, payroll distribution, purchase order, invoice, etc. This record, then, consists of a check copy (exact carbon of check issued) and supporting documentation.</p> <p>This record series contains: payee name and address, payor name, bank account name and number, check date, check number; Check Stub: invoice date, invoice number, purchase order number, account amount.</p>	5	Destroy After Audit
L3215	Purchase Order Reference List (V)	<p>This record series documents all purchase orders issued and any activity such as payments or change orders, voids, etc.. It is used primarily as a quick reference.</p> <p>This record series contains the purchase order number, date encumbered, amount encumbered, date paid, check number, amount paid, amount closed out, account numbers, balance.</p>	3	Destroy
L3216	Revenue Receipts (Cash Receipts) (V)	<p>Revenue receipts (or cash receipts) document all monies received by the Division of Tax Collection. On it is recorded the source, amount received, description, and account number. Supporting documents may be attached to the receipt. Cash receipts are used for auditing and reference purposes. There are three copies of the cash receipt: white copy to citizen, yellow copy retained in Tax Collections, pink copy transferred to Finance Accounting.</p> <p>This record series contains: Date, Receipt Number, Received from, Amount, Description, Account Number, Line Number, Clerk signature.</p>	5	Destroy after audit
L3217	Encumbrance Liquidation Register (V)	<p>This record series documents all open (unpaid) purchase orders and is produced semi-monthly. It provides detailed listings of encumbrances payable. The final register produced June 30 documents those unpaid purchase orders for the fiscal year. This register is used for audit purposes because it is part of the end of the fiscal year documentation.</p> <p>This record series contains the account number, purchase order number, payee, encumbrance amount, check amount, date, expense amount, and variance.</p>	3	Destroy After Audit



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3218	Cash and Investments Monthly Activities File	<p>This file documents daily cash and investments transactions and balances. It tells how much money is invested, when it will mature, and which bank it is in. The file includes source documents reflecting cash activities. Included are: bank repurchase agreements cash reports, memorandum, daily cash investment report, daily revenue detail report and summary, bank deposit tickets (money transacted between accounts), bank debit advice slips, payables summary by General Ledger account.</p> <p>Daily Revenue Sheets, Cash and Investment Reports, Wire Transfers, Deposit Slips, Redemption and Procurement of Investments, Weekly Cash Reports</p>	3	Destroy After Audit
L3219	Stop Payments File	<p>This record series is issued by the Division of Accounting to stop payment on checks issued for whatever reason.</p> <p>This record series contains the name of payee, stop payment check number, check amount, confirmation of transaction completed.</p>	3	Destroy after audit
L3220	Budget Reports (V)	<p>This record series summarizes by fund, division, and detailed account the approved budget and year-to-date expenditures and revenues. It is used by the Division of Accounting as a reporting tool and quick reference. This series includes four separate but related reports, two for revenues and two for expenditures. This is created for accountability of taxpayer dollars and for the preparation of the Comprehensive Annual Financial Report.</p> <p>This record series contains the Detail Expenditures Budget Report(BUD030), Expenditures Budget Summary by Program(BUD031), Revenue Budget Analysis by Fund and Detail (BUD004), Revenue Budget Analysis by Fund and Program (BUD104). Includes fund, division, account code, account title, original budget amount, amended budget amount, expenditures or revenues for the month and year-to-date, year-to-date encumbrances, total budget committed, remaining balance, percent used or received.</p>	3	Destroy after audit
L3221	Audit Work Files (Comprehensive Financial Report Work Papers)	<p>This is a cumulative record of schedules and printouts containing information pertinent to audits. It is used for auditing and future reference. Includes internal work papers, supporting documentation used in preparing the annual financial report of the LFUCG. The report is prepared by the Department of Finance. Audit work files contents may include copies from other files or may be reports generated for preparation of the Comprehensive Annual Financial Report. The report is prepared in the first quarter (Aug-Nov) of the flowing fiscal year. The report is verified by the independent auditor.</p> <p>Depreciation and amortization schedules, actuary reports, inventory, internal &amp; external memorandum, audit adjustment journal entries, year end special run reports.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3222	Trustee Statements (V)	<p>This record documents the amount of funds available for pensions. It documents gains and losses, dividends, interest, and total investment balance available for the respective month. It is used for audit and reference. A trustee is a bank which holds funds in trust for the administration and safeguarding of assets. The statement gives monthly activity in the account with the beginning and ending amounts of cash and investments. The statement reports the activities involved in managing the funds-investment earnings, market value, gains and losses.</p> <p>This record contains: Date, Gains/Losses, Fees, Contributions, Sales, Dividends, Interest, Purchases, and Totals.</p>	3	Destroy After Audit
L3223	Federal and State Grants Files (V)	<p>A grant is a any program that provides financial assistance from a source or sources outside the government. This record is maintained in the Division of Accounting for financial management and accountability only (ie. eligibility &amp; approval of expenditures, matching funds requirements, etc.). The information in this record is used to create the general ledger for the grant project and the general ledger, in turn, is the source for preparing project financial reports. This file contains supporting documentation for the financial management of the grant project.</p> <p>Documents included are copies of award letter, grant budget, financial reports and financial requests, correspondence &amp; memorandums, vouchers, purchase orders, checks, invoices.</p>	3	Destroy after completion of grant and audit
L3224	Fuel Reports (V)	<p>This record documents fuel purchases of all city vehicles. It is used for reference as well as to reconcile invoices. It documents the date of delivery, amount of delivery, type of fuel, pump number, invoice number. It also includes a usage report which documents the total amounts of fuel used daily.</p> <p>This record series contains: Pump Number, Number of Gallons, Date, Delivery Personnel, Invoice Number, Cost of Shipment, Account Number, Gallons Used, Gallons Purchased, Supplier, Daily Overage/Shortage, Remainder of Monthly Allocation</p>	3	Destroy after audit
L3225	Equipment Lease Revenue Notes Records	<p>The LFUCG purchases equipment (cars, trucks, road graders, tractors, furniture, herbie curbies, etc.) through borrowed funds to be repaid over a specified length of time. This record documents transactions involved in this purchase program. Funds are borrowed through issuing notes and depositing the funds so acquired with a trustee (bank). Funds are drawn as they are spent to purchase vehicles/equipment from vendors. Notes are paid off in three years.</p> <p>This record series contains: Date, Trustee Account Number, Authorized Signature, Account Number and Amount.</p>	3	Destroy After Audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3226	Kentucky Sales and Use Tax Returns	<p>This record documents sales tax and use taxes due and commissions earned by the Lexington Fayette Urban County Government for Sales, Concessions, Leases, Rentals, and Auctions. Used for audit purposes. This is a copy of the Kentucky Sales &amp; Use Tax Returns. It is prepared by the Department of Finance monthly to report sales and use taxes collected by LFUCG in government programs (sewer use, parks &amp; recreation). It is sent to the Kentucky Revenue Cabinet, including supporting documents. The check accompanies the report to Revenue.</p> <p>Date, Name, Period of Time, Total Sales, Total Rentals and Leases, Tax Collected, Commission, Total Due</p>	4	Destroy After Audit
L3227	Indirect Cost Plan	<p>This record documents calculations of the LFUCG indirect cost proposal for the respective fiscal year. It documents by department the allowable expenditure amounts, indirect costs, direct salaries, and other direct expenditures. It is used for grant proposal and allocations. It contains budget reports for each department as supporting documentation. The indirect cost plan is a ratio (% calculation) of indirect cost to direct salaries. The report is a calculation of that percentage and supporting documentation.</p> <p>Total Expenditures by Fund and Division, Expenditures Allowable by Fund and Division, Indirect Costs by Fund and Division, Direct Salaries by Fund and Division, Other Direct Expenditures.</p>	3	Destroy after audit
L3228	City Uniform Financial Information Report (F-65,KY-3)	<p>This is a state required report (KRS 65.905) which is submitted annually since 1991 to the Department of Local Government. It must be submitted in 2 copies by February 1 of each year for the previous fiscal year. It documents the revenue and expenditures by fund, division/department, and detail for all funds. Includes tax rates, cash and investments at end of the fiscal year, new dept issues. This report must be submitted in order to receive municipal aid road funds.</p> <p>This record series contains the government name, address, reporting period, data supplied by, certification, tax rates, city revenue, city transfers and proceeds from long term debt, contact information, general fund expenditures, other fund expenditures, personnel expenditures, indebtedness, future payments, new capital lease agreements over \$50,000, future payments, explanations in support of report.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3229	Employer Return Records (V)	<p>Employer return records are used for reporting wage and tax withholdings to the appropriate taxing authority-state, federal, local, and for transmitting the funds.</p> <p>Include: Reconciliation of License Fee Withheld-LFUCG; Reconciliation of Occupational License Tax Withheld for Schools; Summary of Gross Payroll and Taxes Withheld; Payroll Adjustments; FICA Refunds for Workers' Comp Wages; Circuit Court Judge Expense Reports; Indemnity Payments Report; W2Cs (corrected W2 forms); Employers Quarterly Federal Tax Return 941; Employers Record of Income Tax Withheld K3(D)/Employers Return of Income Tax Withheld K1(D); Quarterly Unemployment Insurance Returns; Transmitter Report and Summary of Magnetic Media.</p>	7	Destroy After Audit
L3230	W-2 Listing	<p>This is created for annual W-2 &amp; K-2 reporting to the Internal Revenue Service and the KY Revenue Cabinet. It is a listing of all employee W-2/K-2s. This reports all data for each employee as is listed on the W-2. Employees have their copies of the W-2.</p> <p>This record series contains: Employment number, employee status, earnings, ssn, state taxable gross, fed tax, FICA, state tax, city tax, sch tax, pension, benefit gross, def-comp, C125, workmen's comp.</p>	10	Destroy
L3231	Miscellaneous Income Form (Form 1099-Misc)	<p>This form is used to report to the Internal Revenue Service and to individuals the amount of non-employee compensation paid for the year in amounts greater than \$600. These are used for professional services, consultants, employees hired under contract.</p> <p>This record series contains: Payer's name, address, federal identification number; recipients name, address, account number; rents; royalties; prizes, awards, etc; federal income tax withheld; medical &amp; health care payments; substitute payments in lieu of dividends or interest; crop insurance proceeds; state/payer's state number; fishing boat proceeds; nonemployee compensation; payer made direct sales of \$5,000 or more of consumer products to a buyer for resale; state income tax withheld.</p>	5	Destroy after audit

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Finance  
 Administration

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L3173</b>	Transcript of Proceedings-Revenue Bonds and Notes (LFUCG Public Corporations) (For LFUCG Public Corporations) (V)	<p>This record documents all official proceedings relating to revenue bonds and notes issued. These are bound into books. Examples are: Public Library Corporation, Public Facilities Corporation, Public Parking Corporation, Home Mortgage Corporation, Detention Center Corporation, Sanitary Sewers Corporation. The record provides the historical record of the bond: agreements, legal proceedings, etc., related to the bonds. It is used for reference and for accountability-a public record.</p> <p>This record series contains official documents relating to the sale of Notes or Bonds such as: authorization resolutions, bond resolution, resolution accepting bid, notice of sale, official bid form, official statements, acknowledgment of state local finance officer, mortgage &amp; trust indenture, lease, sublease, title insurance policy, insurance &amp; arbitrage certificates, information report to IRS, certificate of LFUCG, certificate of LFUCG corp, certificate of trustees, legal counsel opinion, rating letter, closing receipt, form of requisition certificate, specimen bond.</p>	P	Retain
<b>L3174</b>	LFUCG Public Corporation Minute Books (V)	<p>This record series documents the proceedings of the LFUCG public corporations: Public Facilities, Public Parking, Public Library, Detention Center. The public corporations exist to enable the government to finance public construction/renovation projects. The government cannot borrow money because a sitting council cannot commit a future council to debt payment. This function is done through the public corporation.</p> <p>This record series contains the minutes of the proceedings, supporting documentation, articles of incorporation, bylaws, resolutions, agreements, and notices.</p>	P	Retain
<b>L3175</b>	Comprehensive Annual Financial Report (Annual Audit)	<p>This report is a comprehensive review of LFUCG finances for a fiscal year. It includes general information about the LFUCG, the financial section (the actual audit), and a statistical section with economic trend information. The purpose is to provide a public accounting of how public funds were managed. The purpose is public disclosure. The report was first prepared in this format in 1983.</p> <p>Introductory section (list of elected officials, transmittal letters, organizational chart, etc); Financial section (Auditor's opinion, balance sheets, financial statements-budget and actual, for all funds and accounts); Statistical section.</p>	P	Retain 1 Copy Permanently. Destroy excess copies.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3176	Independent Auditor's Management Letter	<p>This is the independent auditor's summary of findings and suggestions for improved accounting controls. This is a report of findings, conclusions, and recommendations to the local government.</p> <p>Auditor's letter of findings and recommendations, appendix defining the internal control structure, appendix outlining gov't auditing standards basic premises as defined by the General Accounting Office, appendix outlining the financial reporting entity as defined by the Governmental Accounting Standards Board.</p>	P	Retain
L3177	Debt Service Book (V)	<p>This record series documents the current and retired LFUCG bond or note records. It ensures that payments are made in a timely manner, for reference and as a historical record of bond payments, principal, interest, when due, when paid. Information is maintained in a ring binder with a single page for each bond issue. This is the only record where debt service payments are summarized by issue.</p> <p>This record series contains the debt summary, amortization schedules by fund and issue.</p>	P	Retain
L3178	Audit Work Papers (V)	<p>This record series documents and supports the process used to prepare the Comprehensive Annual Financial Report (Annual Audit). The primary function of these records is met after the annual report is compiled, printed, and distributed. The file is also retained for a short period as reference to data printed in the report.</p> <p>The file contains a variety of documents produced specifically for the audit function. Some contents may also be copies of other significant informational records such as Ky. Retirement Systems annual report. Also included are correspondence, press releases, major events newspaper coverage, audit adjustments (closing journal entries), spread sheets on LFUCG public corporations, audits of component units (Health Dept, Airport, Lex Ctr Corp, LexTran, Library), auditor's findings, conclusions, notes.</p>	5	Destroy
L3179	Cash and Investment Management File	<p>This record series documents the cash and investment policies of Lexington/Fayette Urban Co. Gov't which provide guidelines for investment purchases, cash deposit procedures, collateral requirements. This includes investment and bank analysis, cash investment policies and procedures, collateral valuation procedures, and cash management. This is back-up data and reference material for cash management policies.</p> <p>This record series contains investment and bank analysis, summaries of annual examinations of investments purchased and banks that held funds for LFUCG, cash and investment policies and valuation procedures, background information on the need for placing a value on securities pledged as collateral, a study that examines the need for special procedures for parks deposits, investment yield workpapers and a study of investments prepared in 1985.</p>		Destroy when updated

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3180	Investments File	<p>This record series documents the bidding process for the best interest rate for investment funds. This file further documents what investments are made, where the funds are invested, and the confirmation for each transaction. The highest interest rate is accepted for investment of all urban-county government funds. Over the course of a year, all investment documentation for the fiscal year is kept in this unique file. Further, documents show the types of investments (repurchase agreements, certificates of deposit, U. S. government securities) interest amount, etc. Competitive bidding is done once a month. The purpose is to invest LFUCG funds for maximum yield. This file is useful for a fiscal year, or as long as the investment is active. It provides an audit trail, thus is needed for the annual audit. Journal entries are made as a result of investments to move money to the proper accounts.</p> <p>This record contains the type of investment, fund, amount, institution, interest. It also contains the recommendations for new investments which includes the institution, type, fund, term, maturity date, amount, yield, maturity value, LFUCG approval.</p>	3	Destroy after audit
L3181	Cash Flow Projections	<p>This record series documents the cash flow forecast that is updated monthly. The record details the cash flow activity and compares this to the original forecast. Files included are: Public Library Corporation, Recreation Project, and Sanitary Sewer. This file is used to project cash flow by comparing with previous forecasts.</p> <p>This record series contains the revenues by source, uses of funds by source, net cash flow, ending cash and investment balance.</p>	2	Destroy
L3182	Cash Flow Tracking	<p>Each day a cash report is prepared that documents deposits and disbursements for Lexington/Fayette Urban Co. Gov't. From this report a weekly, monthly, and annual report is generated. When comparing the monthly reports to general fund accounting records discrepancies may be found. The information in this file details the source of discrepancy and can be used in forecasting annual cash flow.</p> <p>This record series contains payables summary by general ledger account, computer generated reports, and memos.</p>	3	Destroy
L3183	Petty Cash Funds File	<p>Petty cash funds were created for purchasing items costing less than \$25. LFUCG authorization forms are required to designate/change the custodian for the fund, change the amount of the fund, and open or close the fund. This file is used to verify the current custodian and amount of the fund and is required until changes are made in status and for audit.</p> <p>This record series contains the amount for each petty cash fund and authorization forms for each fund.</p>		Destroy when updated and after audit
L3184	Change Fund file	<p>This record series documents the individual responsible for the change fund in each Division and the money amount. Change funds consist of start-up money for cash drawers at LFUCG divisions such as Accounting, Purchasing etc.. A LFUCG authorization form must be submitted by the division to open a change fund or to make changes in that fund. When the person responsible for the change fund is replaced or the amount in the fund changed, this file is updated.</p> <p>This record series contains petty cash/change fund requisitions</p>		Destroy when updated

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3185	Interest Rate Quotations Table (V)	<p>This record series documents the going interest rates from various investment firms doing competitive bidding. The table is used to determine the highest yield for investment purposes. The interest rates change periodically as new bid proposals are issued.</p> <p>This record series contains bids for investments, the name of the financial institutions and the interest rates.</p>	3	Destroy
L3186	Master Repurchase Agreement File	<p>This record series documents the policies governing repurchase agreements with financial institutions. The Urban County Government purchases investments from local financial institutions. Policies governing repurchase agreements were deemed necessary after several securities dealers became insolvent. Although LFUCG was not effected by this, the Finance Department researched ways to protect its investments. From this research a master repurchase agreement was devised. All information involving repurchase agreements is in this file. Before LFUCG invests with an institution a repurchase agreement must be signed. The repurchase agreement sets the terms and conditions for financial dealings with that institution. It is a agreement stating what both will do.</p> <p>This file contains memorandums, drafts of master repurchase and safekeeping agreement.</p>		Destroy when updated or no longer useful
L3187	Public Parking Corporation File	<p>The Public Parking Corporation is an agency of the Lexington-Fayette Urban County Government that finances the construction of public parking facilities. This file is used to compile all information relative to the planning and operation of parking projects. It is used for reference.</p> <p>Memos &amp; Official Correspondence, Cost Projections.</p>		Destroy When No Longer Useful
L3188	Self Insurance Fund File	<p>This record series documents the monthly submission of the Self Insurance Report. Government's Self Insurance Fund (managed by Risk Management Division) covers claims for damages to vehicles, property, work related accidents. A computer generated report prepared by finance staff compiles the revenues, claims, and subrogations for each claim year. This report brings together information contained in several reports generated by Computer Services.</p> <p>This record series contains the monthly self insurance fund report and supporting documentation. The report contains the revenues, claims against the fund, and any changes in the creditors and transference of the claims and rights of other creditors.</p>	5	Destroy
L3189	Public Facilities Corporation File	<p>This record series is maintained as a reference file for the Public Facilities Corporation which is an agency and instrumentality of LGUCG designed for the acquisition and financing of public projects undertaken by LFUCG. Public projects that are in the planning stage may be included in this series along with general information regarding the public facilities corporation.</p> <p>This record series contains memorandums, cost projections, leases, construction summaries, meeting guidelines.</p>		Destroy when no longer useful



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3190	Town Branch Waste Water Treatment Plant Construction Monthly Reports File	<p>This record series was submitted monthly to interested parties(construction manager, engineering, public works commissioner). Included are copies of all budgets, revenues, and general ledger balances pertaining to Town Branch Construction. The report provides a quick reference (informational material pulled together for Town Branch budget/construction activity. This is a closed file. The record is no longer created because Town Branch Construction office went on-line with the LFUCG computer network.</p> <p>This record series contains memorandums and copies of appropriate reports (spreadsheets, budget documents, etc.)</p>	1	Destroy
L3191	Sanitary Sewer Annual Assessment File	<p>This record series documents the annual assessments for those individuals who do not pay in full upon completion of sewer improvements. Bonds are issued to cover the unpaid balances of sewer projects, which are in turn repaid over a specified period of time through the collection of annual assessments. All funds remaining after the repayment are then proportionately divided and refunded to the individuals who shared in the bond issue. This file is used to compile information relative to each fund's assessment and refund. Sewer bonds are set up for 20 year maximum debt service (some pay out earlier).</p> <p>This record series contains memorandums, ordinances, rate calculations, computer printouts, and refund calculations</p>		Destroy after bond is closed and all refunds are made.
L3192	KRS 107 Sewer Assessments Billing Register (IMP027) (V)	<p>This record series is used as a billing register. It notes sewer assessments in Fayette County for the current fiscal year. It is a detailed register by street or property address of each sewer assessment bill sent out. Sewer assessments are on property for only 20 years which pays for the construction and installation. This report is for reference only.</p> <p>This record series contains the name and address of current homeowner, value, principal, interest, total assessment, rate, account number, and zone number.</p>	1	Destroy
L3193	Fixed Assets Manual and Work Papers	<p>The Fixed Asset Manual sets guidelines for the proper accounting procedures for the purchase, record keeping, and disposition of all LFUCG fixed assets which is all property except rolling stock. The work papers file is used to provide backup for the fixed asset policies. The work papers are the primary data documents used in creating the original data base file.</p> <p>The record series contains the workpapers and draft of the manual, miscellaneous information on various properties, aand fixed asset manual.</p>	P	Retain
L3194	Bond and Notes Payable File (V)	<p>This record series was created to document all bonds and notes issued when outside financing is deemed necessary to finance a major public project, primarily construction. Bonds are sold through competitive bidding. Bonds are for a term of 20 years, even though some are called (paid off) earlier. Projects included in this file are: KRS 107 Sewer Improvement Bonds, 1983-1986 Housing Bonds, Public Library Corporation, Public Facilities Corporation, Sanitary Sewer, Detention Center, and Lexington Center. These files are used to provide documentation for funds borrowed which includes the sources, uses and financing.</p> <p>This record series contains the preliminary workpapers, invitation to bid documents , bids on bonds, preliminary &amp; official bond statements, bond ordinance, memos and correspondence.</p>		Destroy 2 Years After Expiration of Bond or Note.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3195	Arbitrage Report Work Papers	<p>This record series documents that a report has been filed with the Internal Revenue Service according to the Federal Tax Reform Act of 1986 which stipulates that bond proceeds are to be expended within six months of issuance, otherwise municipalities must rebate any arbitrage earnings (interest earned on money not paid out) to the Federal Government. The Arbitrage Tax Rebate Report must be prepared and submitted to the federal government with each bond and is submitted after the six month period has elapsed. Each bond is issued for a 20 year duration, however some may close in lesser time. These calculation reports are prepared by the LFUCG's independent CPA firm. The file contains a copy of the report and supporting documentation: monthly bank statements, correspondence, bank requisitions.</p> <p>This record series contains the Arbitrage Rebate Report which includes name and address of reporting authority, description of rebate earnings by the issuer, local government certification; trustee bank statements; memorandum and official correspondence-internal correspondence that would affect the balance of bond funds-requisitions of funds.</p>		Destroy 2 Years After Expiration of Bond and audit
L3196	HB 584 Pension (Fire and Police) Information File (C) KRS 61.878 (f)-Open Records Law	<p>This record series documents the legislative act relating to retirement annuities in urban-county governments. House Bill 584 was enacted to alter KRS 67A.360 to KRS 67A.690 which pertains to police and firefighter's retirement fund. This act established the pension fund to take the place of the previous pension fund which was established for second class cities. Those persons retiring before the enactment of this law in 1988 but after July 1, 1974 will be eligible for an increase in pension. The 1988 law supersedes the previous pension plan. This file is used for research and reference and is being kept as a unique record because this statute established new guidelines for the pension plan. This file is confidential because it contains personally identifying information about individual retirees.</p> <p>This record series contains an analysis of fiscal impact-HB1481-Pre-1974 retirees; copies of statutes and legislation; memorandum and correspondence; newspaper clippings; copies of legislative record; etc.</p>		Destroy When No Longer Useful
L3197	Vehicle Liens File	<p>This records series documents the liens on motor vehicles (fleet) purchased and owned by the LFUCG. Vehicles are financed for three years. Once the liens are released, the usefulness of this file is over. The documents in this file are duplicates of the originals in the county clerk's office. This file is used to track the vehicles and know when the liens expire.</p> <p>This record series contains the vehicle transaction record, motor vehicle lien statement, and the vehicle listing by inventory number.</p>	4	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5849	Individual Retirement/Pension File (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document the retirement of individual employees who are enrolled in the City Employees Pension Fund (CEPF) and the Policemen's and Firefighter's Retirement Fund. This also applies to those files of the old City Employee Pension Fund which is now closed. Each file is created at the time of employment to show that they are now a part of a pension plan. Upon retirement an employee's pension is activated. The information in this file is used to determine the amount of pension paid, who the beneficiaries are, funeral allowances to be paid, health insurance coverage, whether there is a disability involved. These records are vital as long as they are deemed active. This file becomes inactive when the individual dies, there are no legal beneficiaries, and there is no pending litigation. Also under the Policemen's and Firefighter's Retirement Fund a person may opt out before serving for 20 years. A lump sum payment may be made to those who leave before 20 years or they may buy time to increase their retirement to comply with the 20 years. If they do buy time the file evolves into an active individual retirement file. If a person dies on the job his/her beneficiaries will receive a monthly payment and the file continues to be active until there are no beneficiaries.</p> <p>This record series may contain retirement master deduction record, name, social security number, cola date, adjustment amount, direct deposit, correspondence, application for retirement, on the job disability documentation, medical evaluations, payment for medical evaluations, documentation of injuries, circuit court appeals, appeals to the pension board, disposition, rehearing, transcript of rehearing, documentation of injury, retirement checklist, enrollment change request, W4, audio tapes, and other reference information.</p>		Destroy 6 years after the file becomes inactive. This file becomes inactive when the individual dies, there are no legal beneficiaries, there is no pending litigation or the employee leaves the pension plan early.
L5850	Benefits File (C) KRS 61.878 (1)(a)	<p>This record series is used to document those benefits for individual retirees. Those benefits include health insurance, dental insurance and life insurance. This file is used to document the deductions from individual retirees monthly pensions. A list containing the deductions is sent by computer services and this is reconciled with the amount paid to the insurance companies.</p> <p>This record series may contain the list of individual retirees and includes the social security number, name, amount of individual deductions and the total for the month. May also contain a copy of the payment to the insurance companies that has been done by the Division of Accounting.</p>	3	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5851	Trust Statement (Monthly)	<p>This record series is used to document the financial status of investment accounts maintained by financial institutions. These are monthly statements of accounts and are used in reporting to the pension board. These are used to track performance of accounts where pension funds are invested.</p> <p>This record series may contain the asset (stocks and bonds), shares/units or par value, tax cost, market value, percentage of market, estimated annual income, yield at market/maturity, total fixed income non-taxable, cash, total principal, income cash and total account.</p>	3	Destroy after audit
L5852	Disability Application (Not Approved) (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document that an employee wants to retire because of a disability. For a job related injury or illness an employee initiates the retirement process by submitting a retirement application and supplemental questionnaire. The employee must submit a signed release for medical information and a doctor's statement regarding the disability, indicating whether the member has reached maximum medical improvement and a fitness for duty evaluation. A worker's compensation claim must be submitted along with an injury report. For a non-occupational disability may apply if they have 5 years of service. They must also use this application along with medical proof of illness or injury. Once the application is not approved by the Board the employee has 20 days to apply for a rehearing. If there is another denial, the employee may appeal to the Circuit Court.</p> <p>This record series may contain name, ss#, address, work title, denial letter, application, medical reports and correspondence.</p>	2	Destroy after all appeals have been exhausted and all litigation completed.
L5853	Roster Sheet/Ballots & Legislative Survey (Policemen's & Firefighters') (V)	<p>This record series is used to document the election of active members to the Board of Trustees (Policemen's &amp; Firefighters' Retirement Fund). The mayor, police chief, fire chief, commissioner of finance, commissioner of public safety, director of human resources, 2 retired (fire and police) representatives and 4 active participants (2 from fire and 2 from police) make up the Board of Trustees. The election is done annually starting with the nomination process in August with the final election completed in September. This series documents the voting for the 4 active representatives to the Board. During this election cycle a survey is taken to see if the active participants in the pension fund want to vote on certain proposed legislation to be brought before the upcoming session of the Kentucky General Assembly. Using the results of this survey a listing of each piece of proposed legislation will be circulated and the membership will be asked to vote on each.</p> <p>This record series may contain the roster of candidates, the completed ballot, results of the election and certification. Also a listing of proposed legislation.</p>	2	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5854	Roster Sheet/Ballots - Proposed Changes by Statute (Policemen's & Firefighters') (V)	<p>This record series is used to document the active membership's vote to have certain proposed legislation presented to the upcoming legislative meeting of the Kentucky General Assembly. After receiving the survey completed by the membership a roster of specific legislation is presented to the active membership for a vote. The results will determine what specific legislation will be brought before the state legislature. Only legislation which will result in changes to the provisions of KRS 67A.360 thru KRS 67A.690 are considered.</p> <p>This record series may contain a roster of proposed legislation, description, completed ballots, results and certification.</p>	2	Destroy
L5855	Payroll Worksheets (Monthly) (C) KRS 61.878 (1)(a)	<p>This record series is used to verify any changes in the monthly payments to retirees. These changes may result from adjustments made for cost of living, benefits or beneficiary information. This is a listing of individuals who are receiving retirement payments and is used as a cross check to make sure that the information that Pension Administration has on file is the same as Human Resources. This file is used little after the monthly comparison.</p> <p>This record series may contain the name, ss#, address, annuity information, deductions and date of report.</p>	2	Destroy
L5856	Domestic Relations Report (C) KRS 61.878(1)(a)	<p>This record series is used to document the amount of money is paid to the Division of Child Support for each participant in the pension plans. This deduction is a result of receiving an order from the Division of Child Support. Used as a reference and to verify the deduction. This is really just a back up to the information that is maintained by Payroll and Benefits section of Human Resources.</p> <p>This record series may contain the name of employee, ss#, directory information, amount of payment.</p>	1	Destroy
L5857	Investment Manager Search Information (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document the search for investment consultants for pension funds. Applications are submitted by those seeking to be investors. An RFP is completed to request applications from investors. This file documents the criteria for those applying along with all other parameters that have to be met. The process whereby an investor is chosen starts with a list of investors compiled by a company employed by LFUCG to search for investors that have a proven track record. The list is pared to 3. These three are asked to make presentations and one is chosen. The one chosen will enter into a contract with LFUCG to provide services.</p> <p>This record series may contain the RFP and the list of possible investors.</p>	1	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5858	Official Minutes Board of Trustees (V)	<p>This record series is used to document all official actions, votes and proceedings of the Board of Trustees of Lexington/Fayette Urban County Government pension plans. These are maintained in the Pension Administration Office. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.</p> <p>This record series may contain date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.</p>	P	Retain
L5859	Audio/Video Recordings Board of Trustees	<p>This record series documents the actual proceedings of the public meetings held by the Board of Trustees. The audio tapes are generally used by the recording secretary as a transcribing aid. Videos may also be used to verify the content of the official minutes. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.</p> <p>Actual recording of proceedings</p>		Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. Note: If minutes are challenged, recordings should be retained until resolution.
L5860	Packets for Members of the Board of Trustees (V)	<p>This record series is used to furnish each member with information about business that is going to be conducted at a meeting. This packet provides the information necessary for the Trustees to make informed decisions.</p> <p>This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.</p>		Retain one copy permanently, destroy all others when no longer needed.
L5861	Banking Records File	<p>This record series documents all banking transactions completed by the administration office. This file verifies the checks written and reconciliation of accounts. It is also used as an audit trail and a reference. This file also is used to maintain investment statements from the investment manager.</p> <p>This record series may contain the, bank reconciliation, bank statement, check stubs, duplicate copies of checks and deposit ticket.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5862	Employer's Monthly Return of Income Tax Withheld	<p>This record series documents the monthly withholding of state income tax for those enrolled in the pension plans. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.</p> <p>This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.</p>	5	Destroy after audit
L5863	Form 1099 - R	<p>This record series is used by a participant in the pension plans to report retirement funds that are subject to state and federal taxes. This form is issued by Lexington/Fayette Urban County Government's Pension Administration office on an annual basis to those who are responsible for payment of taxes. A copy is maintained by the office.</p> <p>This record series contains the name, social security number, address, amount subject to tax and tax year.</p>	4	Destroy after audit

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<b>L3232</b>	Procurement Regulations	<p>This record series along with the applicable portions of Kentucky Revised Statutes and the Charter of the Lexington-Fayette Urban Co. Gov't govern all procurement activities of merged government. It is used in the acquisition of goods and services.</p> <p>This record series contains sections on responsibility and delegation of authority, purchasing coordinators, source selection: purchases that exceed \$10,000, competitive sealed bids, small purchase procedures, emergency purchases, multiple and partial contracts, contract modification and termination, sureties and bonds, disciplinary action for failure to perform, appropriations, verification and public availability of records, miscellaneous.</p>	P	Retain
<b>L3233</b>	Purchasing Manual	<p>This record series documents the purchasing procedures for goods and services for the Urban County Government.</p> <p>This record series contains the introduction, policies and procedures, purchasing coordinators, purchasing procedures, automated purchasing procedures, accounting/payment, surplus.</p>	P	Retain
<b>L3234</b>	Fixed Assets Policies and Procedures (V)	<p>This record series documents the purchasing system and provides written guidelines for the acquisition, recordkeeping and disposition for all Lexington/Fayette Urban County Gov't (LFUCG) fixed assets. The policies were formulated to enhance internal controls and improve safeguards for LFUCG property. All property, except rolling stock, is subject to these policies and procedures. All fixed assets, regardless of funding source, are subject to these guidelines.</p> <p>This record series contains the purpose of the procedures manual, definitions of terms, sections concerning fixed assets, land, buildings and improvements, construction work in progress, leased assets, equipment and machinery, audits and forms.</p>		Destroy when updated
<b>L3235</b>	Inventory Numbers Routing Memorandum (Form INV014)	<p>This record series is used to route the inventory sticker for new fixed assets to the appropriate Division. The form is copied by the receiver and returned to Purchasing. The form is then reconciled with the Purchase Requisition to make sure that the appropriate tag has been assigned to the right fixed asset. After reconciliation this form becomes obsolete and is destroyed.</p> <p>This record series contains the name of the receiving party, Purchasing Division, subject, tag number, description of fixed asset, serial number, destination (building and room), fund, detail, acquisition date, cost, po/voucher number, model, signature of Purchasing Division person, date signed.</p>		Destroy when no longer useful



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3236	Monthly Fixed Assets Inventory	<p>This record series is used to verify that all fixed asset deletions, transfers, and additions have been done. This report is generated by the Division of Computer Services from the Inventory Master Record Database. This report is reconciled with the Fixed asset Inventory Transfer and Equipment Retirement Forms (FA9) received from all government Divisions.</p> <p>This record series contains fixed assets inventory additions, transfers, and deletions, inventory tag number, fixed asset description, fund account, dept. #, account #, buyer account #, purchase order/voucher #, acquisition date, current value, totals, items listed.</p>	3	Destroy after audit
L3237	Purchase Requisition	<p>This record series is used in verifying that the appropriate inventory number is assigned to the appropriate fixed asset. This record is compiled from the purchase order/voucher. It is received from the Division of Computer Services on a daily basis.</p> <p>This record series contains the requisition number, acquisition date, purchase order number, buyer, vendor, shipping destination, description of fixed asset, quantity, unit, unit price, amount, requesting Division, and purchasing coordinator.</p>		Destroy when no longer useful
L3238	Yearly Fixed Asset Inventory	<p>This record series is created at the end of the fiscal year by the Division of Computer Services and is maintained by the Division of Purchasing. It is compiled by Department, thereunder by tag number. The Division of Purchasing distributes to each Division the appropriate section for that particular Division. Each Division then reconciles their files to the yearly report. The Division of Purchasing uses the reconciliation as an internal audit. The record is also used as a reference throughout the first year.</p> <p>This record series contains fixed assets inventory by department and tag number, description of fixed asset, equipment #, building, room, fund, department, account, buyer account, serial number, purchase order voucher #, acquisition date, acquisition cost, current value, and totals.</p>	3	Destroy after audit
L3239	Fixed Asset Inventory Coordinator Appointment Form (FA4)	<p>This record series is used to appoint a person in each Division as Fixed Asset Inventory Coordinator. A copy is maintained in each Division with original returned to the Division of Purchasing.</p> <p>This record series contains effective date, new appointment, change, terminate, department, division, name, title, address, room #, phone, appointing authority, title, coordinator, and division director.</p>		Destroy when changed or updated
L3240	Fixed Asset Inventory Transfer and Equipment Retirement Form (Form FA9)	<p>This record series is used in the recording of the transfer of any existing asset, and whenever an asset is retired by disposal, scrapping or trade-in. It should be noted that it is signed by both departmental Inventory Coordinators any time an asset is transferred from one department to another.</p> <p>This record series contains whether it is a transfer or deletion. Also contains the inventory tag #, old department #, new dept. #, reason for request and method of disposal, date, requested by, inventory coord. for old dept., inventory coord. for new dept., division approval for new and old, dates for new and old.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3241	Improvements or Adjustments to Existing Equipment (Form FA8)	<p>This record series is used to report any improvements or changes in existing equipment to the Division of Purchasing. These changes are entered into the Inventory Master Record Database.</p> <p>This record series contains the inventory #, fixed asset description, improvement cost, purchase order #, date of adjustment, name of preparer, date, division director, date, Division of Purchasing date received and by whom.</p>	3	Destroy after audit
L3242	Fixed Asset Request for New Inventory Tag Numbers (Form FA10)	<p>This record series is used to assign new inventory tag numbers to existing fixed assets. The old tag numbers have been removed or have come off of the existing items. The form is routed to the Division of Purchasing where a new tag number is assigned and entered into the Inventory Master Record Database.</p> <p>This record series contains the old tag #, new tag #, item description, the person requesting the new #, and the date.</p>	1	Destroy
L3243	Fixed Asset Property Inventory Additions (Form FA6)	<p>This record series is used for reporting any equipment and machinery previously purchased by Risk Management. These items are replacing those which have been stolen or destroyed through accidental means. Primarily this record is used to report donated equipment or machinery.</p> <p>This record series contains account information (fund, division), cost, asset description, serial number, purchase order, purchase order date, preparer name, date prepared, dept./division, dept./div. head signature, date signed.</p>	3	Destroy after audit
L3244	Fixed Asset Cumulative Inventory File	<p>The function of this record series is to maintain all the forms, reports and inventory information in one location. All the record series described and listed as fixed assets, except the procedures manual, in this schedule is maintained in this file.</p> <p>This record series may contain the Inventory Numbers Routing Memo., Purchase Requisition, Monthly Fixed Assets Inventory, Yearly Fixed Asset Inventory, Fixed Asset Inventory Transfer and Equipment Retirement Form, Fixed Asset Improvements or Adjustments to Existing Equipment, Fixed Asset Request for New Inventory Tag Numbers, Fixed Asset Property Inventory Additions and other reference material.</p>	3	Destroy after audit
L3245	Purchase Orders	<p>This record series documents the purchasing of items and the acceptance of a purchase order by a vendor results in a contract.</p> <p>This record contains purchase order #, date, reference #, coordinator, requisition #, buyer, vendor name, shipping destination &amp; phone, fed. I.D. #, item description, quantity, unit, unit price, amount., Division of Purchasing Director signature.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Purchasing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3246	Price Contract Voucher	<p>This record series is used to purchase goods or services costing from \$25.01 up to \$500.00. This is used to cut the check for the purchase.</p> <p>This record series contains voucher #, date, coordinator, blanket p.o., requisition #, Buyer, vendor name, shipping destination, federal I. D. #, accounting distribution, item description, quantity, unit, unit price, amount, and Division of Purchasing Director signature.</p>	3	Destroy after audit
L3247	Bid Files - Firm (V)	<p>This record series is used to maintain all records associated with the bidding process for goods and services. Firm bids are those which are not associated with price contracts and are requested using listings of vendors to receive invitations to bid. This file documents each step in the bidding process from Invitation for Bid to the issuance of the purchase order.</p> <p>This record series contains copy of advertisement, invitation to bid, copy of specifications, bids, no-bids, performance bond, bid tabulations, bid recommendation from Division, bid recommendation with copy of bid, copy of resolution or ordinance, requisition #, purchase order.</p>	7	Destroy after audit
L3248	Bid Files - Price Contracts (V)	<p>This record series maintains all records dealing with the bidding for price contracts. Documents all phases of the bidding process from the newspaper advertisement to the issuance of a price contract.</p> <p>This record series contains the advertisement, vendor list, original bid, no-bids, bids not recommended, tabulation sheet, recommendation letter from division, bid recommendation with copy of bid, copy of resolution or ordinance, copy of price contract.</p>	7	Destroy after audit
L3249	Legal Notices for Newspaper	<p>A notice must be placed in the local newspaper advertising the fact that bids are being accepted. This requirement is designated by law. This file includes notices of auctions and bids on surplus equipment.</p> <p>This record series contains the date, bid deadline, bid specifications, bid conditions. A copy of the notice sent to the paper and a photo copy of the actual notice is in the file.</p>	2	Destroy
L3250	Ordinances and Resolutions Reference File (Duplicate)	<p>After a vendor's bid is approved it is delivered to the mayor. Upon the mayor's approval an ordinance or resolution to accept the bid is drafted. The ordinance or resolution is placed on the Council's docket. After receiving a copy of the ordinance or resolution, the Division of Purchasing a purchase order is issued.</p> <p>This record series contains the ordinance or resolution #, description, effective date, date of second reading.</p>	2	Destroy
L3251	Invoices/Stock Room	<p>This record series is used by each Division in merged government to order office supplies.</p> <p>This record series contains the Division name, person ordering, date, address, quantity, description of item, price, cost.</p>	1	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Purchasing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3252	Vendor Application	<p>This record series is used by vendors who are interested in receiving invitations to bid. The information from the application is input on the main frame and backed up monthly. Deletions or changes will only be made when the vendor goes out of business, changes address, or does not respond to a bid request.</p> <p>This record contains vendor name, date, telephone, fax #, business license, type of organization, Is the firm a Disabled Business Enterprise, Category, types of services, mailing address, persons authorized to sign bids, persons to contact, customer references, signature, name and title of person completing form, approval, reviewer, and date.</p>	2	Destroy
L3253	Formal Quote File	<p>This record series documents and maintains all the information concerning formal quotes. Formal quotes are required for goods and services costing from \$5,000 - \$9,999.00. This must be done in writing.</p> <p>This record contains request for quotations, date of issue, item description, quantity, unit price, total price, firm, address, signature or authorized co. representative, typed name of representative, phone number, specifications, terms and conditions.</p>	7	Destroy after audit
L3254	Monthly Distribution Report/Stock Room	<p>This record series documents the Divisional purchase of supplies from the stock room. The report is done on a monthly basis and is then sent to the Division of Accounting, along with the invoice where it is reconciled with each division's fund.</p> <p>This record series contains fund #, division, account line, receipt #, date, and total.</p>	3	Destroy after audit
L3255	Yearly Distribution Report/Stock Room	<p>This record series is used to reconcile the inventory with the supplies ordered by each Division.</p> <p>This record series contains fund #, Division, account line, receipt#, date, total.</p>	3	Destroy after audit
L3256	Yearly Inventory Report/Stock Room	<p>This record series documents the inventory activity of the stock room during the year. It documents who used the stock room, what was used, and the cost to each division.</p> <p>This record series contains date, stock #, item description, lots, unit price, value.</p>	3	Destroy after audit
L3257	State Price Contract Additions and Deletions	<p>This record series is received from the state every 3 months and used by the Division of Purchasing to update the current state price contract file and contracts are used to make purchases in lieu of bidding.</p> <p>This record series contains the contract #, commodity, vendor, vendor phone, vendor number.</p>	1	Destroy after audit
L3258	Deleted State Price Contracts Closed Date: 9/15/1998	<p>This record series is run daily and used in the purchasing process to make sure that all state price contracts are up to date. Used as a reference to make sure goods and services were on price contract at the time of purchase.</p> <p>This record series contains the commodity, vendor name, effective date, E/T, contract #, Buyer, Vendor #, index #, cutoff date, page #.</p>	1	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Purchasing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L3259	Local Price Contract Deletion Report	<p>This record series is used in the bidding process to make sure that the prices used are in effect at the time of bidding. This report is run daily.</p> <p>This record series contains the commodity, vendor name, effective date, contract #, buyer, vendor #, index #.</p>	1	Destroy after audit
L3260	Local Price Contract Report	<p>This record series documents the price contracts in effect and when they first took effect. This report is used in the bidding process. This report is run monthly by vendor name, commodity and effective date.</p> <p>This record series contains the commodity, vendor name, effective date, contract #, Buyer, vendor #.</p>	3	Destroy after audit
L3261	Blueprints	<p>This record series is used in the bidding process when invitations to bid are sent out. These are done for street construction, building (construction or additions) or any other possible construction. The Division of Purchasing receives a copy of the blueprints from the requesting Division and they are used by the vendors. The blueprints are also used by Purchasing in the description part of the invitation to bid.</p> <p>This record series contains the name of the requesting Division and what the project is and the date.</p>	1	Return to Requesting Division or Destroy
L3262	Report of Payroll Hours-Time and Attendance	<p>This record series documents the time and attendance of the Division of Purchasing employees. Sent to the Division of Human Resources each pay period.</p> <p>This record series contains employee name, hours worked, vacation time accrued, vacation time used, sick time accrued, sick time used, other time accrued, other pay, explanation, signature of compiler, signature of Division Director.</p>	3	Destroy after Audit
L3263	Payroll Report by Program	<p>This record series documents the total salaries and withholdings of all employees in the Division of Purchasing.</p> <p>This record series contains the name of the Division, account number, civil service salaries, number of employees, expense amount, withholdings, totals of all above.</p>	3	Destroy after audit
L3264	Payroll Register (Duplicate)	<p>This record series is used by the Division to reconcile with time and attendance and reference. It documents the total salary and withholdings for each employee.</p> <p>This record series contains the Division name, employee, address, telephone, hours worked, pay, hourly rate, deductions.</p>	3	Destroy after audit
L3265	Biweekly Absentee Report	<p>This record series is used to document the absences of the Division's employees and is used by the Division of Purchasing to reconcile that the Time and Attendance is correct.</p> <p>This record series contains employee name, employee #, beginning balances and ending balances for vacation, sick, holiday and other time.</p>	3	Destroy after audit

STATE ARCHIVES AND RECORDS COMMISSION  
Public Records Division  
Kentucky Department for Libraries and Archives

Schedule Date: September 09, 2004

LOCAL AGENCY RECORDS RETENTION  
SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Audit Section

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4194	Audit File (V)	<p>This record series is used to document the procedures whereby taxpayers are audited. This is done either in a random fashion or when there are reasons to audit. This is done by the Davison of Revenue staff.</p> <p>This record series may contain the payment form, audit information, license fee payment history, federal tax return, profit or loss statement, w2s, settlements, letter of findings, name of business or individual and directory information.</p>		Destroy 5 years after close of audit

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Finance  
 Revenue - Landfill User Fee Unit

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4174</b>	Landfill User Fee Payment Edit	<p>This record series is used to verify payments made for those using herbie curbies and dumpsters. When the payment is received the paid bill is sent to the Processing Unit where it is given a batch number and microfilmed. From there it is sent to Computer Services where it is entered into the database and this edit report is generated and sent back to the Landfill User Fees Unit. This listing is used to verify payments when there are inquiries are made.</p> <p>This record series contains the batch #, account #, owner name, date, transactin #, payment amount, open balance, totals and number of payments.</p>	3	Destroy after audit
<b>L4175</b>	Landfill User Fee Adjustments	<p>This record series is used to document any adjustment made to the landfill user fee. This adjustment may be due to billing error, bankruptcy, refund, change of ownership and any other changes to the billing process. This record series is generated by the Unit when any adjustment is received which is almost daily. This adjustment is sent to Computer Services where the information is entered, then sent back to the Unit where it is used to verify the changes if inquiries are made.</p> <p>This record series contains transaction code, date, adustment #, account #, adjustment code, bill code, user fee amoount, penalty, interest, returned check, other charges, tax and grand total.</p>	3	Destroy after audit
<b>L4176</b>	Landfill User Fee Adjustments Edit Report	<p>This record series is used in the verificaion of changes in billing of landfill user fees. This report is generated by computer services from the landfill user fee adjustment sheet sent by the Unit. Once these have been entered this report is completed and sent to the Landfill User Fee Unit. The landfill user fee adjustment sheets are reconciled with this report.</p> <p>This record series contains the date, account number, name, amount, adjustment date, nember and type, bill code.</p>	3	Destroy after audit
<b>L4177</b>	Landfill User Fee Payment Update	<p>This record series is used to document user fee payments on a daily basis. This report differs from the others because not only the total amount is given but what charges went into making the total. The record series is used to answer questions concerning the billing for landfill user fees and to reconcile with the User Fee Adjustment Sheet.</p> <p>This record series contains the date, account #, owner name, batch , sequence #, transaction #, amount paid, user fee, penalty, interest, pre-balance, new balance and grand totals.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Landfill User Fee Unit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4178	Landfill user Fee Adjustments Update	<p>This record series is used to verify all adjustments made to the landfill user fee on daily basis. This report is generated from the Landfill User Fee Adjustment Sheet. This report differs from the other in that the total payments and adjustments are broken down to show what went into making those payments and adjustments. Used to reconcile with the Adjustment Sheet.</p> <p>This record series contains the date, account #, service location, type, adjustment date and number, user fee, penalty, interest, return check, other, sales tax, total and grand totals.</p>	3	Destroy after audit
L4179	Sewer User Payment Edit	<p>This record series is used to document the payment of the sewer fee. When payment is received the bill receipt is processed and microfilmed and then sent to Computer Services where it is entered into the appropriate account. This report is then generated and sent to the Landfill User Fee Unit. Used as a quick reference and to reconcile with the database if questions arise.</p> <p>This record series contains the date, account #, customer name, date, transaction #, payment amount, open balance, messages, total number of payments processed, tape total, computed total, batch #, and control #.</p>	3	Destroy after audit
L4180	Sewer User Adjustment Sheet	<p>This record series is used to document any adjustments to the sewer user fee for individual accounts. The Landfill User Fee Unit compiles this for any change to a sewer account. The adjustment may be for a billing error, delinquency, return check, bankruptcy, change of ownership or extra strength(those accounts which in the past may have dumped any kind of toxic materials- prior to present law). This is the control document whereby Computer Services makes changes to the database. Used as a quick reference and reconciling any differences that may arise in the database.</p> <p>This record series contains the date, transaction code, adjustment #, account number, adjustment code, bill code, sewer amount, penalty, interest, return check, extra strength, tax, totals and grand total.</p>	3	Destroy after audit
L4181	Sewer User Adjustment Edit Report	<p>This record series is used to document the adjustments in the sewer billing for individual accounts. This report reflects those adjustments made on the Sewer User Adjustment Sheet which was forwarded to Computer Services by the Landfill User Fee Unit. This report is used in the Unit for verifying that changes were made if asked by the public and to make sure that the changes made on the adjustment sheet are the same.</p> <p>This record series contains the date, account number, name, amount, adjustment date, number and type, bill code, total adjustments processed.</p>	3	Destroy after audit



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Landfill User Fee Unit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4182	Sewer User Payments Update	<p>This record series is used to document the payments made for sewer services. This report is issued almost daily and reflects the different charges going into the total amount paid. This record series is used by the Unit in verifying the payments and to answer sewer user questions.</p> <p>This record series contains the date, account number, customer name, batch number, sequence number, transaction number, amount paid, sewer amount, penalty, interest, pre-balance, new balance, and grand totals.</p>	3	Destroy after audit
L4183	Sewer User Adjustment Update	<p>This record series is used to document all adjustments on a daily basis. This report not only documents the total payments for individual sewer users but reflects those amounts which go into compiling the totals. The Unit uses this report for verification of the information when they get inquiries and to reconcile that the database is accurate.</p> <p>This record series contains the date, account #, service location, customer name, adjustment date and number, sewer amount, penalty, interest, returned check, sales tax and totals.</p>	3	Destroy after audit
L4184	Bank Deposit Ticket	<p>This record series is used to document the deposit of monies into the government' bank account. These deposits are for money collected for sewer and landfill users. The payments are received by the Processing Unit and the deposit tickets are forwarded to the Landfill User Fee Unit. Some of the deposits are electronically made and others are taken to the bank.</p> <p>This record series contains the name of the depositor, date, name of payer, amount, description, account number, line number, project number, p. o. number, amount and initial of one filling out the ticket.</p>	3	Destroy after audit
L4185	Sewer Payment for Kentucky Accounts(Report SEW117)	<p>This record series is used to document those sewer bills that are delinquent(30 plus days overdue) and sent to the collection agency(Kentucky Accounts) that have had adjustments since the collection process was started. This is upgraded monthly and is sent to Kentucky Accounts for their use in adjusting their collection records. These delinquents may not be sent for collection for 6 months.</p> <p>This record series contains the dates, account number, name, payment, date, batch, sequence number, transaction number, amount paid, current balance and totals.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Landfill User Fee Unit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4186	Sewer Charges for Kentucky Accounts(Report #118)	<p>This record series is used to document any changes in delinquent accounts that have been sent to Kentucky Accounts for collection. This listing is done on a monthly basis and is sent to Kentucky Accounts for them to use to reconcile their accounts.</p> <p>This record series contains the dates, account #, name, transaction date, current balance and reason for change.</p>	3	Destroy after audit
L4187	Landfill Tenant Accounts- Owner Responsibility/Transfer of Billing Form	<p>This record series is used to document who is responsible for payment of the landfill user fee by a commercial user. The owner of the property must fill out this form and notarized stating who will be responsible for payment. A tenant is named responsible but if that tenant does not pay the owner is liable. Every time a tenant changes this form must be completed.</p> <p>This record series contains the landfill tenant account, service location, account creation date, parent account number, parent name, date HB accounts created, date transfer adjustments submitted, date first tenant bills sent, account number, account name, no., type, and size containers and notes. Signature of owner, address, date signed and notarization.</p>		Destroy when updated or property no longer used
L4188	Monthly Activity Statement	<p>This record series is used to document the collection of delinquentsewer user fees by the collection agency(Kentucky Accounts Service). This report is sent to the Unit monthly where it is used to calculate the commission due the collection agency. Along with this paper report a computer tape is sent to Computer Services where all accounts are updated. The paper copy is used in the Unit to reconcile with the tape if there are discrepancies.</p> <p>This record series contains the activity dates, your number, check number, total collections, transaction date, debtor's transaction, current balance, code, amount paid to agency, amount paid to you, total due agency, amount due you, sub-totals, and totals.</p>	2	Destroy after audit
L4189	Bankruptcy File	<p>This record series is used to document those landfill/sewer users who have filed for bankruptcy and are going through bankruptcy court. The bankruptcy notice is received and a memo is compiled with account information and is sent to the Urban County Government's Law Department where a Proof of Claim is completed.</p> <p>This record series contains memo to the Law Department, copy of notice of commencement of bankruptcy case, and user fee account information.</p>	2	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Landfill User Fee Unit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4190	Landfill/Sewer User Fee Refund File	<p>This record series is used to document that a refund of sewer or landfill user fees has been made. A cash disbursement request is made and the original is sent to the Division of Accounting where a check is made and sent to the user. An entry is made in the account of the user reflecting the refund amount and what it was for. Maintained in the Account Database.</p> <p>This record series contains the cash disbursement request which has the name and address of payee and the amount and why the refund was made. Date of request and date of approval. A copy of the user's account is attached.</p>	2	Destroy after audit
L4191	Adult Services Grant Assistance Memo File	<p>This record series is used to document those sewer users who have received grant assistance in the payment of their bill. This memo comes from the Adult Services Division where application for assistance is completed. After approval this memo is sent to the Landfill User Fee Unit where it is noted in the user's account. The memo is then filed and updates to the user's account is made and any action to be taken is completed.</p> <p>This record series contains the name of the receiving person, person sending the memo, date, subject, client name, address, sewer account number and check -offs for what action is to be taken.</p>	2	Destroy after audit
L4192	Adult Services Grant Assistance Payment File	<p>This record series is used to document that payment has been made in the accounts of those who qualify for grant assistance in the payment of landfill or sewer user fees. The Division of Accounting after receiving the memo from Adult Services will issue a check in the amount of the assistance and send it to the Landfill User Fee Unit. The check is then sent to the Processing Unit where it is processed, microfilmed and deposited. This file is maintained for reference purposes with the cancelled check and check register being maintained by the Division of Accounting.</p> <p>This record series contains the check stub, routing memo which has the user's account information.</p>	2	Destroy after audit
L4193	Return Check File	<p>This record series is used to document checks returned for insufficient funds for the payment of sewer and landfill user fees. When a returned check is received by the Division of Accounting it is routed to the Unit where documentation to the individual's account is made and the check is held till payment. A letter is sent to the user informing them of the returned check and requesting payment. When paid a copy of the check is maintained in the file.</p> <p>This record series contains the deposit ticket, listing of returned checks for a certain date, copy of the letter sent to the user and a copy of the returned check or the original check.</p>	3	Destroy after audit

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Finance  
 Revenue - Processing

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L4105</b>	Payment Record (EMS, Landfill, Citations and Sewer Assessments Receipts)	<p>This record series is used to document the receipt of payments from those who have used the Emergency Medical Services, commercial users of the landfill, parking citations and sewer assessments. The billing is done monthly and the receipts are processed by the processing unit on a daily basis. This is a listing generated by computer services after receiving the paid bills. It documents the payments and is used for the audit.</p> <p>This record series contains EMS receipts, receipt edit from remittance processor, landfill and citation receipts. These contain the batch #, type, date, account #, transaction #, sequence #, amount received for EMS, landfill, citations, the amount owed and totals.</p>	5	Destroy after audit
<b>L4106</b>	Landfill Charge Edit	<p>This record series is used to document the charges to commercial users of the landfill. This listing is prepared from the transfer of information from the landfill operation to the Processing Unit on a daily basis. It is used to verify the charges and the amount(tonnage) deposited by a commercial user. This is used by the Processing Unit as a reference when confirming landfill use by commercial users.</p> <p>This record series contains the date, the account number, name of user, date used, ticket #, amount charged, truck #, tonnage, yards, product code and total amount, total tonnage, total yards.</p>	5	Destroy after audit
<b>L4107</b>	Landfill Usage Billing Register	<p>This record series is used to document the amount owed by the commercial users of landfill. This is a list of billings compiled by computer services for the current billing period. These are the bills sent out by the Processing Unit. This listing is used as a quick reference in determining the current and past billings of customers.</p> <p>This record series contains the date, account number, name of user, previous balance, current interest, current charge, current payment, over 90 days, over 60 days, over 30 days, new balance, how many bills prepared, and totals of all columns.</p>	5	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Processing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4108	Landfill Weigh Ticket (V)	<p>This record series is used to document the monthly billings of commercial users of the landfill. This ticket is prepared by the landfill office with one copy going to the commercial user and the other sent to the Processing Unit on a monthly basis. It is used to prepare the billings for the landfill users.</p> <p>This record series contains page #, ticket #, date, time, customer, customer code, account #, truck #, gross pounds, non-taxable, net pounds, total amount charged, waste pounds, waste tons, rates per tons and cu. yardage, certification signature of truck driver and remittance address.</p>	3	Destroy after audit
L4109	Landfill Usage Charge Receipt (V)	<p>This record series is used to document the billing and payment of charges made to commercial users of the landfill. This billing is sent out monthly based upon the usage by commercial entities of the landfill. The landfill usage charge receipt is sent to the Processing Unit along with payment. This record series is encoded and run through the processor where it is scanned into the database and microfilmed.</p> <p>This record series contains the account number, billing date, due date, previous balance, payments, current charges, current interest, balance due, name of landfill user, ticket #, date used, tonnage, yardage, and payment instructions.</p>	3	Destroy after audit
L4110	Emergency Medical Ambulance Service Payment Receipt (V)	<p>This record series is used to document the payment of services provided by the Emergency Medical Ambulance Transportation Service on a monthly basis. The billing is received by the Processing Unit electronically from the receiving hospital, through the appropriate Medical Service firehouse to Urban County Gov't Computer Services. After receiving the payment this receipt is processed, put on disk, microfilmed and boxed.</p> <p>This record series contains the EMS account number, service date, billing date, name of person receiving the service, amount due, encoding number and Urban County Gov't address.</p>	3	Destroy after audit
L4111	Sewer Improvement Assessment Payment Receipt	<p>This record series is used to document the billing and payment of sewer improvement assessment on a yearly basis. This annual payment is based on bond issues for areas within Urban County Government. This payment is received and processed, encoded, put on disk and microfilmed.</p> <p>This record series contains the account #, Urban County Gov't KRS statute-KRS 67A 97, subdivision, mtg. co. code, location, remittance address, amount due, name of person billed.</p>	3	Destroy after audit

# **LOCAL AGENCY RECORDS RETENTION SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Finance  
Revenue - Processing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4112	Request for Medicare Payment - Ambulance(Medicare Claim Form)	<p>This record series is used to request payment of medicare benefits when Emergency Medical Services are used. This claim is filed montly by the Urban County Gov't for those eligible for medicare assistance. This form is used to identify and to determine the persons eligibility. It is also used to decide if the services and supplies received are covered by dedicate and to insure that proper payment is made. The information may be given to other providers of services, carriers, intermediaries, medical review boards, and other organizations as necessary to administer the Medicare program.</p> <p>This record series contains Part 1 - the name of patient, health Insurance Claim #, gender, patient's address, telephone #, whether illness or injury was work related, other insurance, signature of patient and date. Part II - Date of service, type of service, ordered by, description of illness or injury, name of treating doctor, address of doctor, origin of service, destination of service, number of miles, cosst per mile, mileage charge, special service description, base rate, total charges, amount paid, balance due, name and address of supplier, supplier code, telephone number, assignment of patient's bill, signature of supplier and date signed.</p>	5	Destroy after audit
L4113	Medicare Remittance Notice	<p>This record series is used to document the payment of medicare benefits to the Urban County EMS system. This notice is received from Adminastar Federal as often as bi-monthly. The Processing Unit uses this to compare with the claims made and to make sure that payments are received.</p> <p>This record series contains the name and address of service provider, provider #, page #, date, check/EFT #, statement, name of client, service date, billing amount, allowed amount, deduction, provider payment, total claims, total billed, total allowed, total deduction, total provider pay;ment, instructions.</p>	5	Destroy after audit
L4114	Remittance Advice Report	<p>This record series is used to document the payment of claims made through the Kentucky Department for Medicaid Services by claimants using the Urban County EMS. This is received monthly by Urban County Government and is a listing of claims made and paid.</p> <p>This record series contains the EMS invoice #, recipient I.D., claim service dates, billed charges, charge off, amout from other sources, calim payment amount. Run date,RA number, claim type, provider name, type of service, provider number.</p>	5	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4115	Medicaid Insurance Claim Form	<p>This record series is used to document that a claim has been submitted by a person who has used the EMS ambulance service. This claim is completed through the database maintained by Urban Co. EMS and sent to the Kentucky Dept. for Medicaid Services. This form is not maintained by the Processing Unit but has been in the past.</p> <p>This record series contains the patient name, address, birth date, patient relationship to insured, sex, patient status, other insured's name, patient's condition related to, signature of patient, date, insured's I.D. #, Insured's name, address, policy group #, insured's and other directory data.</p>	5	Destroy after audit
L4116	Veteran's Benefits Denial Letters	<p>This record series documents the reasons for denying payment to Urban County EMS for services rendered to a person transported to the Veteran's Hospital. When payment is denied the Processing Unit will bill the person for payment of the EMS bill.</p> <p>This record series contains the name and address, date, denial, reasons, signature, name of claimant and ss#.</p>	5	Destroy after audit
L4117	Veterans Administration Payment Record - EMS	<p>This record series is used to document the payment for services rendered by Urban County EMS to persons transported to the Veteran's Hospital. This is a listing of those persons eligible for veteran's benefits who have used EMS services during the month. This listing is sent to Urban County Government prior to the sending of a payment check. When the check is received by the Processing Unit the stub is attached to the the listing.</p> <p>This record series contains a cover letter giving the total amount to be received, the name of the patient, report date, amount, and account #, the date of the letter and the check stub.</p>	5	Destroy after audit
L4118	Parking Citation (Hard Copy)	<p>This record series documents that a parking violation has occurred. The police department writes the parking citation and sends it on to the Processing Unit of the Division of Revenue. The Processing Unit is responsible for collection. This record series is the paid record sent in by the violator. This is called a hard copy because it is an envelope used for payment by the violator. This is kept separate from the soft-copy citations. When they are received they are batched and a receipt for the batch is completed and retained with the paid citations. They are boxed and six months worth is sent to the county archives every two years.</p> <p>This record series contains the citation #, license # of vehicle, state, year, date cited, vehicle make, model, meter #, time, officer, badge #, location, type of parking violation, instructions for payment. These are batched with a cover containing the batch #, items paid, receipt numbers, and total received. Also in the batch are parking citation revenue receipts and notices of parking citations.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4119	Parking Citation (Soft Copy)	<p>This record series documents that a parking violation has occurred. This is sent to the Processing Unit for collection. They are sent to computer services for entering and batching. This copy comes from the police department documenting the writing of a parking violation.</p> <p>This record series contains the batch ticket, license #, state, license yr., date cited, vehicle make, model, meter #, time, officer, location, type of parking offence and instructions for payment and consequences.</p>	2	Destroy after audit
L4120	Parking Notices Issued by Name Report	<p>This record series is used to verify that a parking violation has occurred and to print delinquent notices. This report is printed monthly and contains the names of the violators who have registered vehicles in Fayette County. The database from which this report is taken has access, through the Department of Transportation in Frankfort, to all vehicle registrations in Fayette County. This update is done monthly. This report is maintained in a file containing other reports including Parking Citations Needing Motor Vehicle Info., Complaints/Summons Issued by Name, Complaints/Summons Issued by Citation Number and AVIS updates.</p> <p>This record series contains the date of report, page #, citation #, license #, state, year, issue date, make of vehicle, badge #, time, location, violation, name.</p>		Destroy when no longer useful
L4121	Parking Citation Needing Motor Vehicle Info. Report	<p>This record series is used to request the names and addresses of those owners of out of county registered vehicles which have been cited for parking violations. This report is sent to the Kentucky Department of Transportation. The Department sends back the name and addresses and the Processing Unit bills those people. This procedure is done monthly.</p> <p>This record series contains the date of report, citation #, license #, state, year, issue date, make, transaction date, and VIN.</p>	2	Destroy
L4122	Complaints/Summons Issued by Name Report	<p>This record series is used to report those parking citations which have not been paid. If the citation is not paid within 6 months it is sent to District Court where action is taken for collection. District Court does not pursue collection after 1 year.</p> <p>This record series contains the date of report, citation #, license #, state, year, issued date, badge, time, location, violation, and name of violator.</p>	2	Destroy



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4123	Complaints/Summons Issued by Citation Number	<p>This record series is used to document those parking citations which have not been paid and have consequently been sent to District Court for action. This report is maintained of those citations which have gone through the District Court process and action has been taken.</p> <p>This record series contains the report date, citation #, license #, state, year, issue date, make, badge, time, location, violation, and name of person receiving citation.</p>	2	Destroy
L4124	Revenue Receipt for Parking Citations	<p>This record series is used to document the receipt of payment of parking citations. This record series is issued for every batch of citations paid which are processed on a daily basis. Used as an audit tool to track the payments of parking citations.</p> <p>This record series contains the name and address of Urban Co. Gov't., date, received from, amount, description, account number, line number, project number, p.o. number, amount, and initials of person completing the receipt.</p>	3	Destroy after audit
L4125	Parking Citation Receipt	<p>This record series is used to document the payment of a parking citation by an individual. The original is given to the individual and this copy is maintained with the hard copy of the parking citation.</p> <p>This record series contains name of Urban Co. Gov't. date, received from, amount, citation #, vehicle license #, type of violation, type of payment, and initials of person collecting.</p>	3	Destroy after audit
L4126	Notice of Parking Citation	<p>This record series is used to document that a parking citation has been given and is sent to the individual receiving the citation if the citation has not been paid in 30 days. This notice is maintained with the soft copy of the citation.</p> <p>This record series contains the Urban Co. Gov't name &amp; address, citation #, license #, issue date, batch , validate #, badge #, violation code, location, amount due, date to be paid, name and address of individual.</p>	2	Destroy after audit
L4127	Parking Citation Batch Control	<p>This record series is used to document those parking citations which have been entered and batched together. This is done daily showing the citation and whether it has been paid or not. This is used by staff to track those citations which have been paid and not paid and where each citation is batched.</p> <p>This record series contains the date of the report, batch #, citation #, license #, st., year, issue dt., make, badge, time, location violation, batch, valid, date pd., amount pd., record #.</p>	2	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4128	Property Tax Bills - Paid	<p>This record series is used to document the issuance and payment of real property tax on an annual basis. This bill is generated by Computer Services using the tax rolls sent electronically by the PVA to Urban Co. Gov't. A portion of the bill is sent with the payment to the Urban Co. Gov't. The property tax season runs from October 1 through April 15. Being a merged government, the Urban County Government is the billing and collecting agency for property tax. The Sheriff's office pays Urban County Government a commission to do this. An arrangement with 5th/3rd Bank allows the taxpayer to send payment directly to the bank where it is deposited. A record of payment along with the tax bill is sent by the Bank to the Processing Unit where the tax bill is processed and deposits are verified. The paid tax bills are maintained in the office for the current tax year, then boxed and sent to the Urban County Government Records Center for storage.</p> <p>This record series contains the Urban Co. Gov't address and name, bill #, account #, district, locator #, homestead exemption, assessed value, tax, assessment date, date to be paid, class, address of taxpayer, state tax rate, school tax rate, general service tax rate and total.</p>	3	Destroy after audit
L4129	Certificate of Delinquency (V)	<p>This record series is used to document the non-payment of property tax for a given tax year. This certificate is prepared in the Processing Unit after the tax sale has been completed. It is sent to the County Clerk for recording. A listing of the delinquent taxes owed is sent to the County Attorney who sends out letters to try and collect. After the delinquent tax bill is payed it will be released and the commission owed to Urban Co. Gov't will be forwarded to the Processing Unit. Only in special instances does the Processing Unit receive a copy of the certificate back. Processing Unit uses the delinquent tax list.</p> <p>This record series contains year of tax bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment, address of property, tax rate and amount, address of taxpayer, noame of purchaser of delinquent tax bill, total taxes, penalty, sheriff's sservice fee, other costs, total of tax sale,and where recorded.</p>	3	Destroy after audit
L4130	Outstanding Property Tax Bill List (V)	<p>This record series is used to document non-payment of property tax for a given year. This listing along with the certificate of delinquency is sent to the County Clerk for recording where the collection process is started. This listing is maintained by the Processing Unit along with any copies of the certificate of delinquency.</p> <p>This record series contains the date of report, account #, bill #, name, location(address), and amount.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4131	Bankruptcy Status Report	<p>This record series is used to document those property tax payers who have taken bankruptcy during the tax year. This report is generated from notices of bankruptcies received from US Bankruptcy Court. These are entered as bankruptcies in the database and given to the County Clerk so no attempts will be made to collect. This report contains not only those who owe property tax but those who owe any fees or taxes to Urban Co. Gov't.</p> <p>This record series contains the name of debtor, case , date filed, type of account, date of research, date signed, amount owed. Also the notice of bankruptcy may be attached.</p>	3	Destroy after audit
L4132	Mortgage Company Tax Bill Reference File	<p>This record series is use to document those property owners whose property taxes are paid by the mortgage company or from an escrow account. This file also documents when the mortgage has been paid and if the mortgage holder changes.</p> <p>This record series contains a listing of taxpayers, correspondence with mortgagor and supporting documentation.</p>	3	Destroy after audit
L4133	Sheriffs Monthly Report of Property Tax Collections	<p>This record series is used to document the collections of property taxes on a monthly basis. Being deputies of the Sheriff's office, the Processing Unit prepares this report. It is signed by the Sheriff and recorded in the County Clerk's Office. A copy of this is also sent the Department of Revenue.</p> <p>This record series contains the name and address of the sheriff, gross tax, discount, tax collected, penalty &amp; interest, gross collections, commission, total due for real estate, lease held, tangible, intangible, and omitted. Total normal and omitted taxes due, credit for bank and trust share tax, less refunds prior year, less refunds current year, penalty, amt. remitted, certification(signature of sheriff and county clerk.</p>	2	Destroy after audit
L4134	Report of Exonerations/Refunds	<p>This record series is used to document tax assessments which have been changed by Property Valuation Administrator and the tax board. These exonerations are sent to the County Clerk for recording and are electronically sent to Urban Co. Government where changes are made in the tax bills and this report is generated to assist the Processing Unit in comparing with the copies of the order correcting erroneous assessment to make sure the changes are correct. If the exonerations are received after the tax billing a new bill will be created and a letter sent telling the taxpayer the new tax amount and disregard the original tax bill. If the taxpayer has paid the original tax bill a refund will be issued.</p> <p>This record series contains the date of report, distric account #, exoneration #, name, location, original amount, change, adjusted amount, assessment amount, tax, tax amount, refund amount, difference, totals(Includes assessment amount, state tax, school tax, county tax), original billing, decreases, increases and adjusted billing.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4135	Order Correcting Erroneous Assessment	<p>This record series is used to verify that all exonerations received by the Urban County Government from the PVA are correct and that the changes have been entered. From these a refund is generated.</p> <p>This record series contains the name of taxpayer, tax bill #, date, tax period date, reason for change, description of error, description of property, original assessment, corrected assessment, decrease-increase, PVA signature, county name.</p>	2	Destroy after audit
L4136	Prior Year Refund File	<p>This record series is used to document those tax bills changed from prior years due to erroneous assessment or error. This file is maintained to show those changes and to verify changes in past assessments. An application for refunds must be presented to either the sheriff, clerk, or each taxing district. A copy of an order correcting erroneous assessment from the PVA and a copy of the paid tax bill must accompany the request. Almost all of these are for Homestead Exemption.</p> <p>This record series contains listing of prior year refunds by month and year, list by year refunded, copy of refund check and stub, cash disbursement request, copy of prior year tax bill, copy of order correcting erroneous assessment, and application for property tax refund.</p>	2	Destroy after audit
L4137	Current Year Refund File		3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4138	Sheriff's Annual Settlement(Audit Copy) (V)	<p>This record series is used to document the billing and collection process for real estate property tax. The Processing Unit of the Division of Revenue acts as deputy sheriff in this process. Lexington/Fayette Urban Co. Government, being a merged government, acts in the capacity of a sheriff's office in the billing and collection of property taxes. This annual settlement is done by the sheriff in other counties. The Fayette County sheriff approves and signs this annual settlement which really is an exact audit trail maintained primarily for the use of the auditor. The official annual sheriff settlement is recorded in the County Clerk's office which is not as detailed as this one. The use of this settlement is primarily for the internal audit conducted by auditors on annual basis.</p> <p>This record series contains the Sheriff's official receipt for additional, supplemental and deferred property tax bills, certification of equalized assessment. sheriff's county tax settlement, resolution approving co. settlement, revenue cabinet rate confirmation, county tax billing report and summary of tax calculations. The following schedules: Franchise tax bills by district, delinquent franchise tax bills by district, supplemental tax bills by district, delinquent supplemental tax bills by district, omitted tax bills by district, real estate delinquent tax bills, tangible and intangible delinquent tax bills, fractional pickups (2% chrgbacks) by district, summary of monthly reports by district, exonerations after certification and before bills printed by district, exonerations after tax bills printed by district, prior year exonerations refunded by district, payments to Ky. State Treasurer, payments to Fayette Co. Schools, interest earned during the tax collection period, reconciliation of cash on hand, property tax refund checks outstanding, duplicate payment reconciliation, change in collateral agreements and tax bills sold at sheriff's sale. Also copies of 3 delinquent tax advertisement and an invoice reflecting amount of advertising expense.</p>	5	Destroy after audit
L4139	Paid Public Service Company (Franchise) Property Tax Bills	<p>This record series is used to document the payment of property tax owed by public service companies. The tax bill is printed by the county clerk and delivered to the Processing Unit for collection. From this bill another bill is manually produced by the Processing Unit. The bill is sent out at the beginning of the taxing period. If the bill is paid on time as specified it will be shown as paid and maintained in a binder in the Processing Unit for a year after payment. Then sent to the county archives.</p> <p>This record series contains the name of urban co. gov't, assessment date, bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment and payment dates, calss, name and address of PSC, tax rate for state, school, general service, full/partial service, amounts for each and totals.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4140	Unpaid Public Service Company (Franchise) Tax Bill	<p>This record series is used to document those franchise taxes not paid by public service companies. If these are not paid by the specified date during the tax period, a list of delinquent franchise taxes is sent to the County Clerk for recording and collection. The unpaid tax bill is maintained in the Processing Unit until paid.</p> <p>This record series contains the tax bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment by date, name and address of PSC, tax rate and amount due for state, school, general service, full/partial service, and total.</p>	7	Destroy after audit
L4141	Public Service Company (Franchise) Property Tax Statement (Form # 61A255)	<p>This record series is used to document the franchise tax bill for the assessment made on public service companies. This statement is prepared by the County Clerk and is sent to the Processing Unit where the franchise tax bill is produced. This statement is filed with the tax bill along with a copy of the tax assessment certification.</p> <p>This record series contains the form # and title, city/county, address, assessment year, bill #, date, name and address of PSC, payment instructions, property class, real estate rate, tangible rate for county, school, assessed value, county tax, school tax, special tax, signature of co. clerk, date, total tax, penalty, interest, total tax, penalty and interest, processing unit contact person.</p>		Destroy with the appropriate tax bill and after audit
L4142	Certification of Public Service Company Property Assessment	<p>This record series is used to document the tax assessment of public service companies as provided by the Revenue Department. This certification is received by the county clerk in accordance with KRS 136.180 showing the assessment is subject to all local tax levies. A copy, attested by the county clerk, is sent along with the property tax statement to the Processing Unit where a tax bill is prepared.</p> <p>This record series contains the name and address of Revenue Cabinet, statement of authority, county, taxpayer name and address, certification date, name of tax district, assessment value for real estate, tangible property and total assessment for local tax.</p>		Destroy with appropriate tax bill and after audit
L4143	Sheriff's Official Receipt for Property Tax Bills (Form #62A385)	<p>This record series is used to document the tax bills received by the Sheriff from the Co. Clerk for taxes due each taxing district. This is for the documentation of real estate, tangible and intangible tax bills paid for a given property tax year. After tax bills are prepared, the county clerk must complete 4 copies of this showing the amount of taxes due each taxing district. The sheriff must complete the acknowledgement and sign all four copies in the presence of the county clerk.</p> <p>This record series contains totals for state taxes(real estate, unmined coal, tangible personal property, intangibles, annuities, bank shares, broker's accounts receivable, totals), county taxes(real estate, tangible personal property, bank shares, domestic life ins., and totals). Also special levies and common school taxes and grand total.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4144	County Clerk's Claim for Preparing Tax Bills	<p>This record series is used to document that the county clerk has prepared the tax bills and certifies the amount due for the preparation. The state pays half and Urban Co. Gov't pays half. This claim is recorded in an fiscal court order book in the county clerk's office. Actually in the Urban County Gov't the tax bills are printed by Urban County Gov't Computer Services. This accompanies the Sheriff's Official Receipt for Property Tax Bills to the Revenue Cabinet.</p> <p>This record series contains the name and address of the county clerk, voucher no. account no., disburse amount, tax year, total number of tax bills prepared, cost for each and total amount, half to be paid by Commonwealth of Ky., official certificatio, total(paid by Ky.), certification by co. clerk, and notary certification.</p>	3	Destroy after audit
L4145	Sheriff's Property Tax Account Statement(Rev. Form # 62A393)	<p>This record series is used to document the actual property tax collected in comparison with the original certification by the Revenue Cabinet. This is done after the tax period has ended. Maintained in the copy of the Sheriff's settlement in the Division of Revenue, Urban Co. Government. Used to complete the final annual settlement.</p> <p>This record contains the name of county, sheriff, date completed. Charges from the original certification, executive orders, ommitted, penalty and interest collected and tatal charges. Deductions for certificates of delinquency, omitted and supplemental, discounts and total deductions(credits). Total tax collected for other districts, total state property tax collections, credit for bank and trusst share tax, total commissions, amt. of state tax due, amt. of tax previously remitted, net amt. of tax due state, prior year refunds, total, penalty, interest, amount due to complete settlement.</p>	3	Destroy after audit
L4146	Certification of Equalized Assessment	<p>This record series documents the total assessments of the different classes of property in Fayette County and the amount of taxes due to the state upon completiton of the tax year. This is subject to change because of increases and decreases granted by the Ky. Baord of Tax Appeals. This is maintained in the Sheriff's Annual Settlement in the Processing Unit of the Division of Revenue.</p> <p>This record series contains the name and address of Revenue Cabinet, class of property , equalized assessment of each class, totals and certification by the Department of Property Taxation.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4147	Tax Billing Report Before Exonerations	<p>This record series is used to document the total tax assessments before exonerations have been entered. This report is used to verify assessments after certification and used in producing the final sheriff settlement. It is an important part of the annual audit.</p> <p>This record series contains the date of report, taxes for real estate, tangible, intangible, rates, general, school, full and totals. Assessments for real estate, annuities, aircraft, raw material/goods processed, tool/precious metals, merchandise inventory/finished goods./priv., mfg machinery, bank shares, brokers, tobacco/storage, ag prod in hand prod., ag prod in stor, stocks and bonds, gds trans/farm/livestock, other int., recycling mach.</p>	3	Destroy after audit
L4148	Summary of Tax Calculations Before Exonerations by District	<p>This record series is used to document by district the total tax assessment after certification. Mainly used in the the final settlement and the annual audit. This record series is made up of the totals for all districts and also totals from each individual district.</p> <p>This record series contains the type of tax, code #, assessment, state tax, general, school tax, full/partial, total tax for each district and grand totals. Attached are the summaries for each taxing district.</p>	3	Destroy after audit
L4149	Tax Billing Report After Exonerations	<p>This record series is used to document the total tax assessments after exonerations have been entered. This report is used to verify assessments after certification and used in producing the final sheriff settlement. An important part of the final annual audit. Used to prepare the final billings.</p> <p>This record series contains date of report, taxes for real estate, tangible, intangible, reates, general, school, full/partial, and tootals. Assessments for real estate, annuities, aircraft, raw material/gds processed, tools/precious metals, mer inv/fin gds/priv, mfg machinery, bank shares, brokers, tobacco/stor/ag prod in hands prod, ag prod in stor, stocks &amp; bonds, gds tran/farm/livestock, other int., recycling mach.</p>	3	Destroy after audit
L4150	Summary of Tax Calculations After Exonerations by District	<p>This record series is used to document by district the total tax assessment after certification. Mainly used in the final settlement and the yearly audit. This record series is made up of the totals for alll districts and also totals from each individual taxing districts. Used for comparing total after the tax bills are completed.</p> <p>This record series contains the type of tax, code #, assessment, state tax, general, school tax, full/partial, tota tax for each district, and grand totals, Attached are the same summaries for each individual taxing district.</p>	3	Destroy after audit



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4151	Schedule(Report) of Franchise Tax Bills	<p>This record series is used to document all of the public service companies who received bills during the year. These include the paid, unpaid and delinquent. It is used in the completion of the Sheriff's Settlement and annual audit. This record series is completed at the end of the tax year which is established by the tax bill sale date.</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer name, billing date, base amounts and totals- school tax, general tax, full/part tax, total tax due, and grand totals of each column.</p>	5	Destroy after audit
L4152	Schedule(Report) of Paid Franchise Tax Bills	<p>This record series is used to reconcile the paid tax bills for public service companies with the total billings issued by the Public Service Commission. Tax bills for public service companies are prepared by the County Clerk and sent to the Processing Unit for collection. These tax bills are issued at different times during the year based upon when the Public Service Commission actions. The tax bills are sent out by the Processing Unit and the public service company has 30 days to pay. This report is a compilation of those paid tax bills. These bills may include more than one year. This report is completed on an annual basis and is used to complete the audit trail and becomes a part of the Sheriff's Settlement (Property Tax Settlement, Audit Workpapers).</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer, date billed, base amounts and totals-school tax, general tax, full/part tax, total due and grand totals.</p>	3	Destroy after audit
L4153	Schedule (Report) of Unpaid Franchise Tax Bills	<p>This record series is used to reconcile those public service company tax bills that are unpaid with the total public service company tax billing as sent to the County Clerk by the Department of Revenue. It is also used in the production of the Sheriff's Settlement and the yearly audit. Unpaid public service company tax bills are those which were billed shortly before the property tax bill sale date was set. A public service company which receives a tax bill has 30 days to pay without penalty or interest. If a company receives a tax bill within that 30 days window it will be able to go over the tax sale date but not longer than 30 days. These bills are marked as unpaid instead of delinquent because of the timing of the tax bill. These are not sent to the County Clerk as delinquent.</p> <p>This record series contains bill number, account number, tax year, taxpayer, date billed, base amounts and totals- school tax, general tax, full/part tax, total due and grand totals.</p>	5	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4154	Schedule(Report) of Delinquent Franchise Tax Bills	<p>This record series is used to document those public service company tax bills that were billed on time but not paid within the 30 day period. At the end of the tax year and after the tax bill sale date this report is issued and those in delinquency are sent to the County Clerk's office as such. This record series is used in the reconciliation of the total franchise tax billing and in the annual audit.</p> <p>This record series containss the tax bill number, account number, tax year, name of taxpayer, billing date, base amounts and totals-school tax, general tax, full/part tax, totals due, and grand totals.</p>	5	Destroy after audit
L4155	Schedule(Report) of Supplemental Property Tax Bills	<p>This record series is used to document those property tax bills which were prepared and sent because either the Kentucky Board of Tax Appeals has changed an assessment or the PVA has done so after the initial billing has been done. This record series is completed at the end of the tax year for the purpose of reconciling the tax collected and used in the preparation of the Sheriff's Settlement and the annual audit. This report contains all supplemental property tax bills(paid,unpaid,delinquent) but are not distinguishable.</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also Signed for Amounts-net state tax, net school tax, net general tax, and net full/part taxfor each taxpayer and totals of each column.</p>	5	Destroy after audit
L4156	Schedule(Report) of Paid Supplemental Tax Bills	<p>This report is used to document those supplemental property tax bills paid on time. Supplemental bills are received at various times during the taxing year. If a supplemental bill is received and signed for by the Processing Unit around the time of the initial property tax billing in September and it is for the current tax year it will be billed just as other tax bills. If it is signed for a period after the initial tax billing, a tax bill will be issued to the taxpayer with a 30 day payment period plus interest. Again supplemental tax bills are issued either by the Kentucky Tax Appeal or PVA.</p> <p>This record series contains the billing number, account number, tax year, taxpayer name and billing date. Also signed for amounts for the net state tax, net school tax, net general tax, and net full/part tax and totals of each. Also grand totals of all columns.</p>	3	Destroy after audit
L4157	Schedule (Report) of Unpaid Supplemental Tax Bills	<p>This record series is used to document those supplemental tax bills issued near the tax bill sale date. Because there would not be enough time(30days) to pay before the sale date these are not considered delinquent. If these are not paid they will be carried over to the next year as unpaid with interest and penalty. They will not be placed on the delinquent list and sent to the County Clerk for collection. This report is used to complete the Sheriff's Settlement and in the annual audit process.</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amounts for net state tax, net school tax, net general tax, net full/part tax and their totals. Also grand totals of each column.</p>	5	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4158	Schedule(Report) of Delinquent Supplemental Property Tax Bills	<p>This record series is used to document the supplemental property tax bills which are delinquent. These have not been paid within the 30 day period and also had sufficient time between the billing date and the tax bill sale date. These are sent to the County Clerk who prepares a delinquent tax list for collection. This report is used to prepare the Sheriff's Settlement and used in the annual audit process.</p> <p>This record contains the tax bill number, account number, tax year, taxpayer name, billing date. Also signed for amounts for net state tax, net school tax, net general tax, and net full/part tax and their totals. Grand totals of all columns.</p>	5	Destroy after audit
L4159	Schedule(Report) of Omitted Property Tax Bills	<p>This record series is used to document the omitted property tax bills received throughout the tax year. These were submitted to the County Clerk by the PVA after the initial billing in September. The Processing Unit signed for these as the County Clerk called to inform them there was a need to collect. This report is completed at the end of the tax year and is used to complete the Sheriff's Settlement and the annual audit.</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amount for net state tax, net school tax, net general tax, net full/part tax and their totals. Grand totals of each column.</p>	5	Destroy after audit
L4160	Schedule (Report) of Paid Omitted Tax Bills	<p>This record series is used to document all omitted property tax bills which have been paid. Omitted tax bills are generated throughout the year and are initiated by the PVA if it is found that there was either an oversight or a change in taxpayer name which has not been posted. The taxpayer has 30 days to pay after billing takes place. This report is used to reconcile receipt of taxes with the listing signed for by the Processing Unit. It is generated at the end of the tax year and is used to complete the Sheriff's Settlement and the annual audit.</p> <p>This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amounts for net state tax, net school tax, net general tax, net full/part tax and totals. Also grand totals of the individual columns.</p>	3	Destroy after audit
L4161	Schedule (Report) of Delinquent Omitted Tax Bills	<p>This record series is used to document those omitted tax bills which have not been paid within the 30 day period and had sufficient time to do so. That is there was time before the tax bill sale date to pay the bill. This report is used to verify those in delinquency to the County Clerk. It is also used in the completion of the Sheriff's Settlement and the annual audit.</p> <p>This record series contains the tax bill number, the account number, tax year, taxpayer name, billing date. Signed for amounts for net state tax, net school tax, net general tax, net full/part tax and their totals. Grand totals of each column.</p>	5	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4162	Schedule(Report) of Real Estate Assessments Outstanding	<p>This record series is used to document those taxpayers are delinquent. This report is sent with the certificate of delinquency to the County Clerk showing just real estate assessments. This is done at the end of the tax year.</p> <p>This record series contains the taxpayer name, district, bill number, real estimate, face amount(tax bill) and totals.</p>	5	Destroy after audit
L4163	Sheriff's Report of Delinquent Taxpayers	<p>This record series is used to document those taxpayers who have not paid their property taxes for the tax year. This report is generated by the Processing Unit after the the tax year and the tax bill sale date has passed. This report is filed, along with the delinquent certification with the the County Clerk. This report is used in the preparation of the Sheriff's Settlement and the annual audit. Delinquent taxpayers are listed on green bar pages which are filed with this report. These pages are used in the County Clerk's office in the preparation of delinquent tax lists.</p> <p>This record series contains the name of taxpayer, district, tax bill number, tangible and intangible rates and assessments, face amount owed, and totals.</p>	5	Destroy after audit
L4164	Property Tax Total Collections	<p>This record series is use to document the totals of all property taxes collected for the tax year. This report is broken down into school property tax collections, city property tax collections(streets, sewer and infrastructure assessments) and county property tax collections(police/fire and library). This report is used to prepare the official Sheriff's Settlement. It is used in the preparation of the annual audit by reconciling the amount of assessed value with the actual collections.</p> <p>This record series contains the amounts for gross tax, less 2% discount, tax collected, penalty and interest, grosss collections, commissions and total due. These amounts are compiled and shown according to real estate, leasehold, tangible rates, banks, intangible rates, annuities and omitted. Totals of each of the first group are compiled. Total taxes due, refund-prior year, refund-current year, tax due state, rounding, payments to state and total due state. Reports are attached for the school property tax collections, city property tax collections and county property tax collections.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Revenue - Processing

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4165	Summary of Monthly Reports	<p>This record series is used to document and summarize the Sheriff's Monthly Report of Property Tax Collections for the purpose of preparing the annual Sheriff's Settlement. These summaries are broken down into reports for the county, city, school and state. The summary is sent to the County Clerk's office and Department of Revenue.</p> <p>This record series contains the monthly summaries of property tax collections for the county, city, school and state assessments. Each summary contains gross tax, less 2% discount, tax collected, penalty &amp; interest, gross collections for general property tax, franchise corp. tax, bank share tax, omitted tax, supplemental tax, life insurance, deferred tax, and totals. Also contains the total taxes due, refunds-current year, refunds-prior year, tax due and signature of sheriff.</p>	3	Destroy after audit
L4166	Report of Executive Orders Correcting Erroneous Assessments	<p>This record series is used to document and list of executive orders correction erroneous assessments. This report is separated into those executive orders issued before and after billing. This report is used in the preparation of the annual Sheriff's Settlement and the annual audit. These are the assessment values of the property as opposed to the monetary values. This report is generated from the executive orders issued through the PVA. The County Judge/Executive does not have to sign these but may sign them.</p> <p>This record series contains 2 reports (before and after billing) with the following information: Name of taxpayer, district, bill number, exoneration number, assessment value for real estate, tangiblerate, intangible rate, decrease and increase and totals.</p>	3	Destroy after audit
L4167	Report of Prior Year Refunds	<p>This record series is used to document those refunds made for the prior 2 years and is used to prepare the annual Sheriff's Settlement and the annual audit. This report is generated at the end of the tax year.</p> <p>This record series contains the date of refund, state tax, school tax, county tax, full and total refunds for each.</p>	3	Destroy after audit
L4168	Property Tax Audit Report-Payments to State Treasurer	<p>This record series is used to document the monthly payments made to the Kentucky State Treasurer throughout the tax year. This report is compiled at the end of the tax year and is produced solely for audit purposes.</p> <p>This record series contains the fund #, name of payee, amount of payment, check number, date and source.</p>	3	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4169	Property Tax Audit Report-Payments to County School Board	<p>This record series is used to document those payments to the Fayette County School Board throughout the tax year. This report is used primarily for the annual audit. It is produced at the end of the tax year from journal entries made by the Division of Accounting into the database serviced by Computer Services. It is a part of the annual Sheriff's Settlement.</p> <p>This record series contains fund #, division, detail, payee, amount, date, source and check #.</p>	3	Destroy after audit
L4170	Property Tax Audit Reports-Interest Earned	<p>This record series is used to document the interest accrued during the tax year on deposits made from tax receipts. This record series is used primarily in the annual audit process. The Division of Accounting compiles this report from journal entries and routes this report to processing where it is also used to complete the Sheriff's Annual Settlement.</p> <p>This record series contains the fund #, division, detail, transaction, amount, date, source and journal entry #.</p>	3	Destroy after audit
L4171	Daily Property Tax Wire Transfer Report	<p>This report is used to document the payment of the property tax to the Fayette County School Board. The report is run daily and shows all the payments due the School Board. This report is used in the compilation of the Sheriff's Settlement and the final audit.</p> <p>This record series contains the batch #, date, amount collected, school tax amount, state amount, urban county government amount, duplicates, and any variance. Totals of all amounts, less commissions amount due the school board after commission.</p>	3	Destroy after audit
L4172	Schedule(Report) of Duplicate Payments	<p>This record series is used to document those taxpayers who have been billed twice for the same property tax. This report is used to refund that amount due to the taxpayer. The report is compiled periodically to ensure that overpayment has been dealt with.</p> <p>This record series contains the bill #, batch key, date billed, amounts, taxpayer name.</p>	3	Destroy after audit
L4173	Schedule(Report) of Duplicate Payment Refunds	<p>This record series is used to document the refunds made to those taxpayers who were sent duplicate bills. The taxpayers paid the same bill twice so a refund is due. The report is run at the end of the tax year to reconcile with the amount of taxes billed.</p> <p>This record series contains the tax bill #, name of taxpayer, amount of tax due, duplicate amount and totals.</p>	3	Destroy after audit

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Finance  
Revenue  
Tax Compliance

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4101</b>	Occupational License Fee on Wages and Net Profits File (C) Ordinance, Chapter 13, Licenses and Reg. Sec. 13-11 (V)	<p>This record series documents the application for and payment of the occupational license fee by those doing business in Fayette County. The occupational license fee is assessed upon all salaries, wages, commissions or other compensations from businesses, trades, occupations, professions and other activities in the urban county. Also it is assessed on the net profits of all businesses, trades, occupations, professions and other activities in the urban county. Each employer must withhold the license fee from gross wages, salaries, commissions and other compensation paid to employees for services performed within Fayette County. Each business must register for the occupational license fee. When the total amount withheld is \$300 or more per quarter it must be submitted monthly, if less, quarterly. Each employer and each business must report annually the license fee withheld of each employee and its net profit subject to the fee. All of this, along with correspondence, refund info., and audit information is documented in this file. Because a business or individual may continue to do business in Fayette County for an indefinite period this file will be accessed frequently while it is active. When a business either goes out of business or ceases to do business in Fayette County the file becomes inactive and is sent to the Urban County Government Record Center.</p> <p>This record series contains the Questionnaire and Initial Reporting for an Occupational License Fee Account, Net Profits License Fee Return, Annual Reconciliation of License Fee Withheld, Employer's Return of License Fee Withheld, Refund Card, W-2s, copies of federal tax returns, Payment Forms, Revenue Audits, and general correspondence.</p>	5	Destroy after audit
<b>L4102</b>	Occupational License Fee on Wages File (Individuals) (C) KRS 61.870-884, Ordinance Chap. 13, Sec. 13-11 (V)	<p>This record series documents the payment and collection of the occupational license fee on wages of individuals who are employed in Fayette County but were not listed on the employers Fee Return and those who, as businesses, did not have any expenses. Every individual whose earnings within Fayette County are from salaries, wages, commissions, or other compensation, received from one or more employers, on which a license fee was not deducted, must file on Form #245. If the licensee has conducted a business or other activity, Net Profits (Form #228) must be filed. These must be filed for the same period as the Federal Income Tax Return is filed. When the individual ceases to work in Fayette County the file becomes inactive and is sent to the Urban County Government Record Center.</p> <p>This record series contains the Annual Individual License Fee Return ( on Salaries Wages, Commissions, Etc., Under Ordinance #2882), refund card and general correspondence.</p>	5	Destroy after audit

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Tax Compliance

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4103</b>	Insurance Premium Tax File (V)	<p>This record series documents the payment and collection of the Insurance Premium Tax from insurance companies doing business in Fayette County. Each insurer must file with the rate being 5% of premiums received. This record series is maintained in the Division of Revenue Tax Compliance Unit while active. As long as the insurer is doing business in Fayette County this file continues to be active and may document many years. Inactive files are transferred to the Urban County Government Record Center.</p> <p>This record series contains the Quarterly Insurance Premium Tax Return, the Insurance Premium Tax Annual Reconciliation, general correspondence, refund card and Revenue audits.</p>	5	Destroy after audit
<b>L4104</b>	Occupational License Fee Refund File (File may contain the following: Application for Refund(Form 211-22), Individual Work Schedules & Copy of W-2. (C) KRS 413.120, Ordinance Chap.13,Sec.11,Lic.&Reg.	<p>This record series documents the refund process for the overpayment of the occupational license fee by businesses and employees of those businesses. A refund may be requested within a three year window. Those requesting refunds are those with unreimbursed business expense or have and over 65 exemption. The individual employee refund requests are filed under the business name and account number. This file is transferred to the Urban County Government Record Center when it becomes inactive.</p> <p>This record series contains the application for refund(Form 211--22), individual work schedules, W-2s, general correspondence.</p>	5	Destroy after audit



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 General Services  
 Fleet Services

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5556</b>	Vehicle Information File (V)	<p>This record series is used to document certain information about urban county government owned vehicles. This includes the purchasing documentation and type of vehicle.</p> <p>This record series may contain the registration, purchase order, type of vehicle, specifications of vehicle and year put into service.</p>		Destroy after vehicle is no longer owned by government
<b>L5557</b>	Fuel Tickets	<p>This record series is used to document that fuel was gotten from urban county government fueling places. This is used to track gas usage and the amount used by vehicles. The urban county government has fueling places that can be accessed by all government vehicles.</p> <p>This record series may contain the date, name of driver, vehicle #, amount of fuel, cost and time received.</p>	2	Destroy after audit
<b>L5558</b>	Monthly Fuel Report	<p>This record series is used to document that fuel was purchased from an outside vendor. This report is created to reflect all purchases from a vendor other than urban county government. It is used to track the fuel usage and to verify the purchases.</p> <p>This record series may contain the dates, vehicle #, amount of fuel, cost and time received.</p>	2	Destroy after audit
<b>L5559</b>	Weekly Electronic Fuel Transaction Report	<p>This record series is used to document fuel purchases through Fleet One. This fuel is purchased using Fleet One credit cards and the transactions are sent to the Division of Fleet Services for payment. This is a weekly report.</p> <p>This record series may contain the dates, vehicle #, amount of fuel, cost and time received.</p>	2	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
General Services  
Fleet Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5560	Vehicle Maintenance Record File	<p>This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning urban county government vehicles.</p> <p>This record contains the work orders, name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.</p>	1	Destroy
L5561	Hazardous Waste Annual Report and Assessment Return	<p>This record series is used to document any site registered as either a large or small hazardous waste generator. Any site that treats, stores or disposes of these waste products must submit this report by March 1 of each year to the Division of Hazardous Waste. The original and one copy is sent to that Division and one copy to the executive authority (Mayor's office). Fleet management documents the used oil, paints and oil filters that are disposed of and how it is done.</p> <p>This record series may contain a signature, registration number of facility, description of waste, epa #, the disposal process, generic name of chemical waste, date, time and amount.</p>	3	Destroy
L5562	Underground Storage Registration	<p>This record series is used to document that Fleet Services has underground storage of hazardous chemicals. This is an annual registration and must be done by July 1 of each year. Fleet services has tanks for gasoline and oil.</p> <p>This record series may contain a signature, description of stored chemicals, epa #, capacity, location and access information.</p>	3	Destroy

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 General Services  
 Parks and Recreation  
 Extended School Program (ESP)

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6291</b>	Administrative File (Extended School Program)	<p>This record series is used to document compliance with 922 KAR 2.110. This administrative regulation lists the requirements for child-care center providers. The Extended School Program is a fully licensed program that provides care and activities for elementary and middle school age children at a reasonable cost. This is a cooperative program of the Division of Parks and Recreation and selected Fayette County Public Schools. This file documents all reporting, plans and drills that are required for this licensed child care center.</p> <p>This record series contains the annual staff professional development plan, disaster plan, record of quarterly earthquake and tornado drills, record of monthly fire drills and reports required by 922 KAR 2:110 section 6(1) and inspection reports.</p>	5	Destroy
<b>L6292</b>	ESP Student File (Extended School Program) (C) KRS 61.878 (1) a	<p>This record series is used to document compliance with 922 KAR 2.110. Under Section 3 all day care center providers must maintain records for those attending including the identification of each child, parents, home address, attendance and their schedule.</p> <p>This record series contains the enrollment form, parent information, physician information, medical history, immunization certificate, pick-up permission, off premises permission forms, and attendance records.</p>	5	Destroy
<b>L6293</b>	ESP Personnel File (Extended School Program) (C) KRS 61.878 (1) a	<p>This record series is used to document the staff requirements for the Extended School Program operated by Parks and Recreation. The staff must meet certain qualifications listed in 922 KAR 2:110. This file is kept for each staff member.</p> <p>This record series contains the staff person name, ss#, directory information, criminal records check, child abuse and neglect check, background check, high school diploma/GED, TB test, and training information and certification.</p>	5	Destroy

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 General Services  
 Parks and Recreation

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5563</b>	Report of Chemical Applications	<p>This record series is used to document that certain chemicals have been applied to grassy areas, including golf courses, ball fields and other park areas. This application report is sent to the Division of Water periodically. This documentation is provides information about the chemicals used in case there is ground water contamination.</p> <p>This record series may contain the name of the date, applicator, certification #, chemical name, type of fungicide, insecticide and fertilizer used, rates, acres or footage, locations, notes, weather, temperature, reason used, and total products.</p>	6	Destroy
<b>L5564</b>	Altercation File	<p>This record series is used to document altercations that result in the permanent and non-permanent suspension of a spectator, fan, coach, or player from attending or participating in a parks supervised sponsored event. A physical and verbal altercation policy has been adopted by the Division of Parks and Recreation with the purpose of defining sportsmanship expectations of the department and to serve above and beyond the rules of the game. When certain rules are breached by any of the above participants. The rules address the issues of fighting, verbal abuse, harassing, use of racial/gender epithets, unsportsmanlike conduct, and procedures followed. There are definite penalties for 1st, 2nd and 3rd offenses. The suspensions can be for one year, three years or permanent.</p> <p>This record series may contain the incident report, correspondence, policy violation, disposition of the case.</p>		Destroy when suspension is no longer active
<b>L5565</b>	Departmental Loss/Incident Reports	<p>This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.</p> <p>This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement</p>	3	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
General Services  
Parks and Recreation

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5566	Accident Reports- Public (V)	<p>This series is used to document any accident that occurs on parks property. It is an administrative document that aids in gathering statistics concerning injuries for each year. The information is also used to settle any liability claims that result from the accident.</p> <p>This record series may contain correspondence, accident form, supporting documents</p>	2	For adults destroy 1 year after accident. For juveniles destroy 1 year after reaching 18 years of age.
L5567	Release of Liability by Participant	<p>This record series is used to document that the local government and recreation department will not be held liable for injuries and other accidents that may befall participants in recreational activities. This is signed by the parent or guardian at the beginning of the activity and is in force for the duration of that activity. This may also act as a reference if there is an injury to find medical information/insurance. This gives permission by the parent or guardian to the recreation department to utilize doctors/insurance when needed for the participant. This release may also contain the name of contact people in case of emergency.</p> <p>This record series may contain the release, dates of activity, name of participant, name of guardian/parent, names of emergency contacts, medical insurance documentation, and signature of parent/guardian.</p>	2	Destroy
L5830	Facilities Rental Agreement (Reservation)	<p>This record series is used to document the rental of parks and recreation facilities. These facilities are reserved for specific times during the year. This may be buildings, ball fields, swimming pools etc.</p> <p>This record series may contain the name of renter, date, phone number, dates rented, facility, type of activity, and any compensation.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
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<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5568</b>	General Subject Files (C) SCR 3.130(1.6), KRE 503 (V)	<p>This record series is used to document certain litigations that are performed by the Department. This is not the actual litigation file but is all the research information gathered on a particular subject. This file is used extensively by staff to do research. It basically is a memory of case litigation.</p> <p>This record series may contain a research narrative, timeline, correspondence, memos, copies of litigation files, persons who worked on the research, and conclusions.</p>	P	Retain
<b>L5569</b>	General Subject Files Index (V)	<p>This record series is used as a finding aid for the General Subject File. It is both electronic and paper and is arranged by subject and number.</p> <p>This record series may contain the subject file name, number of file, brief content.</p>	P	Retain
<b>L5570</b>	Reading File (V)	<p>This record series is used to document all business that is sent from the office. This includes all court matters and correspondence. These are all copies.</p> <p>This record series may contain memos, letters, published informational material and reference materials, pleadings, deeds, mortgages, and supporting documentation.</p>	3	Destroy
<b>L5571</b>	Litigation Files (C) SCR 3.130(1.6), KRE 503 (V)	<p>This record series is used to document all litigation involving the Urban County Government. This record is created as a result of citizens bringing suit against the government or as a result of suits brought by the government to collect taxes, revenue, eminent domain and others. Much of the information in this file is not in the official court case file. This record is used as a reference and as a guide when new litigation is brought. This gives a legal history of the government.</p> <p>This record series may contain the legal pleadings, correspondence, depositions, court process, discovery information, internal research documents, copies of checks, and video tapes.</p>	P	Retain
<b>L5573</b>	Litigation Files Index (V)	<p>This record series is used as a finding aid for all litigation files. This is both in paper form and electronic form. It can be accessed by name of case and by its number.</p> <p>This record series contains the name of case by plaintiff/defendant, number of case and location.</p>	P	Retain
<b>L5575</b>	Law Department Opinions Index (V)	<p>This record series is used as a finding aid for the opinions and is maintained as a paper card catalog.</p> <p>This record series may contain the subject and location.</p>	P	Retain

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5574	Law Department Opinions (V)	<p>This record series is used to document opinions that are given by the Department of Law when requests come from Urban County Government agencies. When issues need clarification within the government an opinion is written and issued to the requesting agency. This carries weight only within the Urban County Government. Much research goes into this.</p> <p>This record series may contain research data, formal opinion in memo form, date issued, requesting party, and subject.</p>	P	Retain

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Building Inspection

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5508</b>	Inspection Reports	<p>This record series is used to document the inspection of structures that are newly built or altered . These include building, electrical, plumbing, plans and specifications and housing inspections. These are done in accordance with building code mandates. A certificate of occupancy can only be issued after successful inspections of all aspects of the structure.</p> <p>This record series may contain the address of structure, type of construction, type of inspection, date of inspection, narrative of inspection, list of violations, results of inspection, name of inspector, signature of inspector and if there are inadequacies what needs to be done to correct it.</p>	3	Destroy
<b>L5509</b>	Building Permits Issued	<p>This record series documents application by a property owner to build and/or alter a building on property. Included in this records series are permits for commercial, new residential, residential remodeling, additions, and accessory structures, demolition/wrecking, signs, swimming pools, fences, grading and others. It is used to insure compliance with established requirements of the set forth in the building code. This information is also shared with the local property valuation office so that, if necessary, property taxes may be adjusted for the affected property.</p> <p>Date, permit number, property owner name, description of building to be constructed or changes made to existing building, electrical demolition, zoning requirements, site plans, housing plans, property information and correspondence.</p>	5	Destroy
<b>L5510</b>	Building Permit Monthly Report	<p>This record series is used to document the total number of building permits issued and the fees associated with them on a monthly basis.</p> <p>Date, name of person requesting permit, the amount charged.</p>	5	Destroy



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Building Inspection

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5511	Certificate of Occupancy	<p>This record series is used to document that an inspection of a building has been done and that the inspection indicated that the building was constructed in compliance with requirements of the Uniform State Building Code. The inspection shall be comprehensive and include provisions of general construction; structural quality; mechanical systems; electrical systems; and life safety from hazards of fire, explosion, and other disasters. A copy of the certificate is sent to the Commissioner of Housing, Buildings and Construction.</p> <p>This record series may contain the building permit number; address of the structure; name and address of the owner; a description of that portion of the structure for which the certificate is issued; inspection statement; name of the building official; edition of the code under which the permit was issued; If an automatic sprinkler system is provided and whether it is required; any special stipulations and conditions of the building permit; date of inspection, description of property; name of contractor.</p>		Destroy when structure is destroyed
L5512	Residential Building Plans File (House Plans)	<p>This record series is submitted when applying for a building permit. These plans are voluminous and are not used after the certificate of occupancy has been issued. The builder also has a set of these plans. This may be used for enforcement of building codes and reference for later modifications. The homeowner's warranty is in effect for one year, during which time the builder must address any issues the resident raises. The agency will keep the plans to allow the resident easy access to them. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the residence.</p> <p>All files will contain: Building plans; Plat plan; Zoning approval; Worker's Comp coverage agreement.</p> <p>Files may contain a checklist of plan review; sewage permits; deck specification sheets, blueprints, drawings.</p>		Destroy one year after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.
L5513	Building Permit Application File - Not Issued	<p>This record series is used to document those who submit an application for a building permit. These were not issued because the applicant did not meet certain criteria. An application for a permit for any proposed work shall be deemed to have been abandoned 180 days after the date of filing, unless such application has been pursued in good faith or a permit has been issued; except that the building official is authorized to grant one or more extensions of time for additional periods not exceeding 90 days each. The extension has to be requested in writing and justifiable cause demonstrated. These may be applications for commercial, new residential, remodeling, additions, demolition, signs, swimming pools, fences, grading and any other.</p> <p>This record series may contain the application, site plan, any written approvals, design requirements, plant requirements, full set of plans, name of construction location, owner, address, contractor, signature of applicant.</p>		Destroy 180 days if permit is not issued. Destroy when all appeals and extensions end.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Building Inspection

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5514	Commercial Building Plans File (Nonresidential)	<p>This record series is submitted by persons applying for a building permit for all new commercial buildings, additions and/or improvements. This record helps document the planning and construction of a commercial facility. They are maintained to allow the owner easy access to them in the event that problems arise involving the facility and for code enforcement. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the project.</p> <p>This record series may contain site plans, blueprints, drawings, foundation plans, floor plan, stair details, all means of egress, mechanical and electrical plans. May also include change orders or plan modifications.</p>		Destroy two years after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.
L5873	Encroachment Permit File (V)	<p>This file is started to obtain permission to work on the highway right-of-way or close at least one lane of a state highway. The permit is completed and sent to the Kentucky Transportation Cabinet, Department of Highways Permit Branch, for approval. The type of encroachment is listed and the dates of the encroachment if known. Information is retained in the local office, Dept. of Highways Permit Branch, and District Office. Once the permit has been approved, there are agreements that are signed by the parties that dictate when, how long, and how the project is to be completed. When work has been completed, the applicants forward notice of completion of Encroachment to their district office. The District Office sends an inspector to inspect the worksite for proper completion. If approved, District Office will send a release.</p> <p>Encroachment permit application, Encroachment work release, notice of completion, Encroachment permit general notes and specifications, maps and information about the projects.</p>	3	Destroy
L6296	Contractor Registration Files	<p>This record series is used to document that commercial, residential and specialty contractors are properly licensed to provide services in the Urban County Government area. This file verifies that contractors have a business license, worker's compensation insurance and liability insurance.</p> <p>This record series contains the application for and renewals of contractor licenses, certificates of insurance, worker's comp insurance exemption and state licenses for specialty contractors. The application would contain the name, name of company, directory information and type of contractor.</p>	2	Destroy after audit

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Code Enforcement

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5874</b>	Home Inspector Files	<p>This record series is used to document the activities of home inspectors. These are prepared by a licensed home inspector for the purpose of giving findings made prior to the purchase of a residential dwelling. The inspector surveys the structure and certifies that the dwelling meets all state and local requirements.</p> <p>This record series may contain license applications, continuing education certificates, examination results, receipts for payment of fees, insurance documents, lists of inspections and correspondence.</p>	3	Destroy
<b>L5505</b>	Condemnation File (V)	<p>This record series documents the record of proceedings, events, and conditions of a property slated for condemnation for reasons such as collapse of property, unsanitary conditions, health of public in jeopardy, or a lack of public utilities. The process is begun through violation of the Property Maintenance Code and appeals can only be taken to the Codes Appeals Board and then to Circuit Court.</p> <p>May contain photographic evidence, documentation of notices and orders, court order</p>	P	Retain
<b>L5506</b>	Violation File - Zoning, Building & Housing Change Date: 6/21/2007	<p>This record series is used to document that notice has been given that there is a violation of building codes, housing codes or zoning regulations. This is used until the violation is remedied. The violation may result in litigation and if so the documentation may be entered as part of the litigation file.</p> <p>This record series may contain the address of violator, name of owner, date of violation, explanation of violation, the amount of time to remedy the violation, and instructions for verification that the violation has been fixed.</p>		Destroy 5 years after last complaint.
<b>L5507</b>	Violation File - Weed, Rubbish, Junk Car & Sidewalk	<p>This record series is used to document violations of laws(state or local)) concerning weeds, rubbish, junk cars and sidewalks. This notice is given to the owner of the property and they are given a certain time to correct the violation. These records are kept as a reference in case of future violations by the same persons.</p> <p>This record series may contain the name of violator, address of violator, explanation of violation, the law that was violated, amount of time to correct violation, date of violation and name of person giving the notice of violation.</p>		Destroy 5 years after last complaint.

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Environmental and Emergency Management(DEEM)

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5515</b>	Inventory for Facility File (V)	<p>This record series is used as a finding aid for the facility files. Used to locate certain documents. This record series is updated regularly to reflect the changes made in the facility files. Maintained as an electronic record but may be printed out as well.</p> <p>This records series may contain the name of facility, document name, summary information along with dates and other information.</p>	P	Retain
<b>L5516</b>	Facility Files - Non Residential (V)	<p>This record series is used to document non residential facilities that may be a source of environmental concern. The facility may be keeping hazardous materials either as an inventory or that may be used in their daily business. It may be underground storage, storage above ground, kept in a building or kept in an open lot. These files may be representative of complaints received or may be maintained because a facility is in the business of using, storing or selling hazardous materials or they are underground storage facilities. This file is used to assess the situation and to provide information if there is an emergency. Some of these files may be confidential because of trade secrets or as part of the super fund cleanup.</p> <p>This record series may contain the name, address, hazardous material, amounts, inspection reports, complaints, correspondence and other reference materials.</p>	P	Retain
<b>L5517</b>	Facility File - Residential (V)	<p>This record series is used to document reports of hazardous materials being stored in a residence. This record may reflect what was found at the residence and what was done to remedy the situation.</p> <p>This record series may contain the name, address, materials, summary of action, date and time.</p>		Destroy 3 years after last activity

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Environmental and Emergency Management(DEEM)

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5518	Emergency Response Plan (V)	<p>This record series is used to document how the community responds to chemical accidents. The plan must identify facilities/transportation routes, describe emergency response procedures, designate a community coordinator and facility coordinator, outline emergency notification procedures, determine the affected area and populations, describe local emergency equipment and facilities and the persons responsible, outline evacuation plans, provide training program for responders, provide methods and schedules for exercising emergency response plans. The Local Emergency Planning Committee develops this plan. This committee is made up of representatives from police, fire, ems, public health, transportation, and environmental specialist.</p> <p>This record series contains the guidelines for dealing with a chemical spill. Includes names of responders, phone numbers, notification procedures, evacuation plans, training component, list of potential problems.</p>		Maintain one copy permanently. Destroy all other copies when superseded.
L5519	Tier II Emergency and Hazardous Chemical Inventory File (V)	<p>This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.</p> <p>This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.</p>	3	Destroy
L5520	Transformer Incident File	<p>This record series is used to document when electricity transformers explode and emit certain hazardous chemicals. The incident is reported by the electric company (KU) for the purpose of informing those in the vicinity that there may a hazard. PCBs are the most prominent of the hazardous materials. This incident report is followed up by what action KU has taken to clean up and make the area safe.</p> <p>This record series may contain the location, address, how the situation was handled and if there was any damage to surrounding area.</p>	3	Destroy
L5521	Hazardous Waste Incident File (C) (V)	<p>This record series is used to document one time spills of emissions of hazardous chemicals or materials. This may be a tanker spill or an emission from a facility. This initiates a response which includes the fire department.</p> <p>This record series may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.</p>	3	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Environmental and Emergency Management(DEEM)

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5522	Training and Exercise File	<p>This record series is used to document training and exercises that are given which requires implementation of the major provisions of the emergency plan. Items considered are threat, training programs completed by response personnel, assignment of personnel, equipment available to responders, funding, exercise frequency, and experience commensurate with the type and stress of the exercise. Must be conducted on a four year cycle.</p> <p>This record series may contain, exercise/training materials, guidelines, scenarios, time, date and list of responders.</p>	5	Destroy
L5523	Natural Disaster File	<p>This record series is used to document natural disasters such as tornado, ice storms, floods and others. These are maintained to document the procedures followed, the consequences, the details of the disaster. This is used for future reference.</p> <p>This record series may contain the time, date, photos, summary of the disaster, response and damage done.</p>	P	Retain

LOCAL AGENCY RECORDS RETENTION

SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Public Safety

Enhanced 911

Series	Records Title	Function and Use/Contents	Retention	Disposition
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The following six record series may be found in the Common Records Section of this retention schedule and are considered a part of Enhanced 911.

L5453	Minutes of Official Meetings	
L5454	Policies and Procedures (Manuals or Memorandums)	
L5455	Annual Policy Guidelines	
L5456	Open Records Register	
L5457	Open Records Request for Inspection/Disposition	
L5771	Hiring Process Materials File	

<b>L5637</b>	Change of Address File (C) KRS 65.752(3)(4) (V)	This record series is used to document the changes of address. The changes must be approved by the Council through a resolution. The resolution is maintained permanently in the Council Clerk's office. These changes are entered into a database (GIS). The address and phone number are linked when a 911 call is received.  This record series may contain correspondence, field notes, copies of area maps, change of address and a reference to the old address.	2	Destroy
<b>L5638</b>	Master Address File (C) KRS 65.752(3)(4) (V)	This record series is used to document the all addresses in the urban county government area. This is maintained in the police department and is automatically changed by the phone company when people move with the old numbers and addresses backed up. This is in paper form and in a stand alone database.  This record series may contain the name, address and phone number.		Destroy updated addresses as occupants change

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Enhanced 911

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6436</b>	Dispatch Recordings - (May be transmitted by radio or phone and recorded on rewritable CDs or tapes.) (C) KRS 61.878 (1)(a)	<p>This series is used to document and record all Enhanced 911 related calls whether made by phone or by radio. These may include calls from individuals, police officers, EMS, or firemen. These are recorded automatically as the call comes in to the agency. The system will write over tape or CD at the appropriate time - 60 days. Most of this information will be recorded on an additional system. The information will be recorded on the system used by the contact agency, such as the Police, EMS, or Fire Department.</p> <p>The information may vary but usually will have the time, date, name of person calling and subjects covered</p>	60 Days	Destroy or re-use. Note: If there is litigation, an open records request or investigation involving these records all destruction ceases.
<b>L6437</b>	Surveillance Video/Audio Recordings	<p>This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws.</p> <p>Video of a certain area of the facility or the outside of the facility.</p>	60 days	Destroy or re-use. Note: If there is litigation, an open records request or investigation involving these records, all destruction ceases.



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Community Corrections  
 Administration

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6393</b>	Inspection Instrument for Jails (V)	<p>The report is required by KRS 441.064. This instrument is used by the Corrections Cabinet to report on the condition of the jail facility as well as the administration of the jail. The inspections are biannually and this report is produced from those inspections. The report is to sent to the County Judge/Executive with recommendations for the corrections of problem areas. If the Corrections Cabinet hands down an order for compliance, a deadline will stated. After compliance with the report, the Jailer will detail the steps to correct the problem.</p> <p>The record contains the name of the facility, address, type of facility, person in charge, date of inspection, inspector, inspector's signature, date and the body of the report which details compliance with 186 items relating to administration, booking, information systems, training, etc. The instrument is a 37 page document.</p>	15	Destroy
<b>L6394</b>	Periodic (Monthly/Weekly) Report to Corrections Cabinet (V)	<p>To inform the Kentucky Corrections Cabinet of inmates being cared for by county correctional facility and to comply with the requirements of KRS 441.105(2) which require its creation.</p> <p>Name of inmate, charge, date of birth, sex, county, time and date of entry, time and date of release.</p>	2	Destroy
<b>L6395</b>	Visitor's Log	<p>This series is used to document time, date, name of visitors for inmates or jail facilities. This series includes Daily visitation, weekend visitations and visits by clergy, attorneys, family members and etc.</p> <p>Date, badge number, visitor's name/address, purpose, time in, time out.</p>	3	Destroy
<b>L6396</b>	Work Release Money Log	<p>To account for work release money received by the jail facility. An inmate may be employed in community service work outside the facility for which payment may be received.</p> <p>Date, person paying and receipt number, correctional officer receiving money, supervisor received, office received.</p>	3	Destroy after audit

# **LOCAL AGENCY RECORDS RETENTION SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Administration

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6397	Lunch Count Sheet	<p>To record number of correctional officers eating lunch for purposes of food preparation and to comply with 501 KAR 3:100 relating to food services.</p> <p>Denotes shift, officers on duty, officers eating salad, officers eating lunch, inmate count scheduled, inmate documentation scheduled, name of officer, check off for lunch or salad.</p>	1	Destroy
L6398	Jail Register (a.k.a. Inmate Register)	<p>(V) KAR, Title 501, Chapter 3:020, Section 4, requires that jail information and inmate records shall be retained in written form or within computer records. The register will list what federal, state and local prisoners may be residing in a local jail facility for purposes of social control and monetary reimbursement. Depending on the size of the county and past records-keeping practice seperate registers may be found federal, state and local prisoners.</p> <p>Name of prisoner, when committed, term of sentence, by whom committed, offense, color and sex, officer committing, age, nativity, when discharged, by whose order discharged, number of days in jail, jailer's fees, total, remarks.</p>		Destroy 5 years after release of inmate

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SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Adult Probation

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6298	Adult Probation Case File (C) KRS439.510 (V)	<p>This record series is used to document those adult prisoners that have been placed on probation by the District Court. The person is placed on probation and is under the supervision of Community Corrections. This probation may be work release, community service or other types of probation.</p> <p>This record series may contain probation terms, counseling reports, restitution receipts, criminal history, police reports, documentation of educationa and community service hours.</p>	5	Destroy after closure of case
L6299	Adult Probation Receipt Book	<p>This record series is used to documents payments made by probationers for restitution, probation fee, work release, drug tests or electronic monitoring.</p> <p>This record may contain receipts that payments have been made. The name of the payer and payee and other pertinent information.</p>	5	Destroy after closure of case and audit
L6300	Adult Probation Deposit Slips	<p>This record series is used to documents bank deposits made by Adult Probation. These consist of payments made by the probationers for restitution, probation fee, work release, drug tests or electronic monitoring.</p> <p>This record may containthe deposit slip and list of payments received from persons which make up the deposit.</p>	5	Destroy after closure of case and audit

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Community Corrections  
 Booking

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6424</b>	Daily Inspection Sheet	KAR 501, Chapter 3:060 Section 3 requires that each jailer establish a procedure for inspecting all areas of the facility for physical security and contraband. The sheet is used to record a daily inspection and rating of all jail areas for cleanliness and security to conform with that requirement.  Officer undertaking inspection, date, area, listing of 26 items for rating, areas to be rated, total points and comments section.	3	Destroy
<b>L6425</b>	Shift Report (Daily) -- (Daily)	KAR 501, Chapter 3:060 relating to security and control requires that jail personnel document surveillance of each inmate. Chapter 3:020 Section 4 also requires that jail and inmate records shall be maintained. The report is used to record officers on duty on a particular shift and to inform incoming shifts of situations requiring their attention.  Shift, guards, dates, on duty, off duty, time, and remarks.	2	Destroy
<b>L6426</b>	Daily Activity Report -- (Daily)	KAR 501, Chapter 3:060 requires that jail personnel shall document surveillance of inmates which includes at least one headcount per shift. The report is used to document the daily work activities and incidents reported by each deputy jailer for reasons of accountability and to assist succeeding shifts.  Name of deputy jailer, shift, location, date, on duty, off duty, head count males/females in cells, work release, detox, juvenile, administrative holding, community placement and remarks plus narrative columns for time and description.	2	Destroy
<b>L6427</b>	Telephone Log (Individual Inmate) -- (Individual Inmate)	KAR 501, Chapter 3:060 Section 4 relating to jail security requires that documentation be maintained on telephone usage by inmates of the facility. Inmates are permitted at least one call of five minutes length weekly and the jailer under Chapter 3:140 Section 3(2) calls for maintenance of a log for all phone calls. The log documents phone calls made by individual inmates and is useful for classification, security and treatment reasons.  Inmate name, cell number, date, time, number called, person called, officer's initials or number.	5	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Booking

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6428	Fire Evacuation Procedure List	KAR 501, Chapter 3:070 relating to safety and emergency procedures for the jail requires written documentation on fire planning sessions and the quarterly provision for fire planning sessions for staff. The list is used to document the fact that jail employees have participated in fire evacuation procedures.  Signature of employee, date participated, and signature of supervisor	2	Destroy
L6429	Community Service Center Work Schedule	KAR 501, Chapter 3:060 establishes special control procedures for jails with community service or work release programs. The schedule is used as a control mechanism and provides information on work location, times in and out, and the names of those on community service duty.  Name of inmate, work location, time in and time out	2	Destroy
L6430	Headcount Report	KAR 501, Chapter 3:060 relating to security and control in the jail requires that documented headcounts be maintained for inmates in the facility. The record documents on a cell by cell basis inmates residing in the jail on a given day.  Date of headcount, cell number, inmate or inmates in cell, male or female, type of cell, actual count and number of inmates.	2	Destroy
L6431	Transportation Log -- (Vehicle Log)	KAR 501, Chapter 3:030 relating to fiscal management provides for the maintenance of records relating to the cost for operating the jail. Chapter 3:120 requires a written record when an inmate is removed from custody. The log is used to record the destination and time of transportation of inmates to a work site, medical care or court.  Date, officer, vehicle, destination, time out, arrival time, time in, initials.		Destroy 5 years after final entry
L6432	Inmate Medical Folder (C) KRS 196.280, 197.025, 610.320, 610.340 (V)	KAR 501, Chapter 3:020 Section 5(2) requires that inmate medical records shall be maintained. The records can follow the prisoner if he/she are transferred to another facility. The folder is used to record the medical history and medical treatment of jail inmates as required by KAR 501 3:090.  Contents: Medical request form, health history, medical information release, medication log sheet, medical test results, correspondence, memorandum of treating physician or hospital, prescription information, medical evaluations.		Destroy 5 years after release of inmate

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Booking

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6433	Inmate Record/Folder (C) KRS 196.280, 197.025, 610.320, 610.340 (V)	<p>KAR 501 Chapter 3:020 Section 4 and 5 relate to information systems and inmate records and require that certain information be retained in inmate records and allow that they can be retained in written or within computer records. Records on juveniles are to be kept separate from adult jail records and jail records for mental inquest detainees shall also be kept separate. Release of information is only possible by inmates signing a release of information consent form. The documents record in one place biographical, medical, arrest, property, inmate account, visitor and classification data on an individual inmate to assist in determining a proper rehabilitation program. If additional time in a state or federal facility is ordered by the court, a copy of the inmate's file is sent to the facility from the jail and becomes part of the inmate's folder at that facility. In most cases, if information is requested once this file has been archived, the court record is used to answer most questions. Unless the inmate is convicted of a felony offense, the court record is eligible for destruction in five years.</p> <p>Contents: Photographs, incident reports, court proceedings, body receipt, property slip, leave slips, observations, letters to staff, inmate hearings, telephone calls, mental petitions.</p>		Destroy 5 years after release of inmate
L6434	Video/Audio Recordings - Inmate related recordings	<p>This series is used to record any incident that may cause conflict between an inmate and an employee of the jail. Some jails/detention centers record the booking of all inmates while others record only the bookings in which they think there may be conflict. Also recorded are disciplinary hearings, incident reports, cell removals, and the time an inmate is in the restraint chair. This tape can be and is used as evidence in hearings in which an inmate complains that they were abused or treated unfairly by a jail employee.</p>	2	Destroy if no litigation is pending.
L6435	Video Log	<p>Each video is numbered and the number is identified in this log. The log also documents the date recordings begin and end. By checking the inmate folder and obtaining the date an incident happened, the log can be consulted to find exactly which tape is needed to locate specific entries.</p>		Destroy when Video/Audio Recordings are destroyed

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SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Canteen

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6401	Inmate Account Deposit Receipt (V)	<p>KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and canteen and requires that fiscal records be maintained relation to the operation of the jail and the canteen. The receipt is used to record the deposit of money to an inmates account(often by a family member) and to issue a receipt as an acknowledgement of that deposit and credit to the account.</p> <p>Amount, deposit to account with inmate name, property number, cell number, by whom deposited, date, authorizing officer.</p>		Destroy 2 years after release of inmate and audit
L6402	Inmate Account (V)	<p>KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and the canteen and require that fiscal records be maintained relating to the management of the jail and the canteen. This record covers debits and credits to an inmates account as the result of prison wages earned, deposits by family or others and commissary purchases. At the time of release any remaining balance is returned to the inmate.</p> <p>Name of inmate, date, account balance, debit, or credit, initials of inmate for debit. May include deposit or receipt forms.</p>		Destroy 2 years after release of inmate

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Community Corrections  
 Classification and Treatment

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6399</b>	Inmate Classification Sheet (V)	<p>KAR Title 501, Chapter 3:110 sets forth procedures for the classification of inmates and the record is created in response to that procedure. Upon admittance to the jail facility, the inmate is interviewed, and as a result of the information received, the inmate is placed in a cell location appropriate to the offense and other factors (male, female, adult, juvenile, mental ill or mentally retarded, mental inquest detainees). In most recent cases (from approximately 1998), juvenile and mental detainees are housed in other- than- adult jail facilities.</p> <p>Date, booking date, arrest date, arrest time, SSN, name, aliases, sex, age, race, d.o.b., place of birth, height, weight, address, phone number, marital status, spouse's name, length of marriage, number of dependents, military service, discharge date, employer, medical problems, medication, drug use, alcohol use, physician's name, felony arrests, escape attempts, current charges, court date, bond, disposition, cell location.</p>		Destroy 5 years after release of inmate
<b>L6400</b>	Inmate Phone Calls	<p>KAR Title 501, Chapter 3:140, Section 3, requires that a record of all telephone calls by an inmate shall be maintained by the jail. The record is used to document the date, time and party contacted by the inmate. This series is used seldomly if at all. The main use is to check if an individual complains an inmate is bothering them by calling from the jail. In some cases the inmate has an EPO filed against them and this document can prove they were trying to contact the protected individual.</p> <p>Name of inmate, cell location, approved by, date, number called, person called, time, date, signature of inmate, recorded conversation.</p>	6 months	Destroy



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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Community Corrections  
 Food Services

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6403</b>	Food Service Operation Inspection Record	<p>KAR 501, Chapter 3:100, Section 1 requires that Jail Food Services comply with the Kentucky Food Service Establishment Act and the State Food Service Code (KRS 219.011 to 219.081) and the Kentucky Occupational Safety and Health Standards for General Industry. The record is the inspection by the local health department of the jail food service operation for compliance with the health codes and regulations and makes recommendations where appropriate for improvement.</p> <p>Food service operation name, date inspected, violations found in structural cleanliness, ventilation, lighting, toilet facilities, water supply, waste disposal, serving and display, and cleanliness of staff with inspector's specific recommendations for correction or improvement in any of these areas.</p>		Destroy when superseded
<b>L6404</b>	Menu	<p>KAR 501, Chapter 3:100, sets forth procedures for proper food services in local jails and includes certain records keeping requirements among which is maintenance of accurate records of all meals served. The menu serves to document the foods served at each meal to inmates of the jail facility.</p> <p>By week and then by day lists foods served at breakfast, lunch and dinner. Includes a comment space.</p>	1	Destroy
<b>L6405</b>	Refrigerator and Freezer Temperature Control Record	<p>KAR 501, Chapter 3:100, Section 1(11) requires that jail food services have sufficient cold storage facilities for food. The record services to document temperatures within the refrigerator and freezer for purposes of monitoring for health purposes the safe storage of perishables.</p> <p>Records date of temperature checked, individual checking temperature, and temperature of refrigerator and freezer</p>	1	Destroy
<b>L6406</b>	Perpetual Inventory	<p>KAR 501, Chapter 3:030 relating to fiscal management of the jail facility requires that an inventory procedure shall be implemented and established. This record documents the amount of foodstuffs on hand in food services of meal planning, ordering and use of food products.</p> <p>Lists name of food item, unit size, date, record of action, with quantity of food received, withdrawn and remaining on balance.</p>	1	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Food Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6407	Special Diet Order	KAR 501, Chapter 3:100 relating to food services in the jail requires that the jailer provide for medical and religious diets. The record documents the type of special diet (medical or religious) served to the inmate and the purpose for serving.  Name of inmate, date of birth, issue date, module, booking number, expiration date, type of diet, initials of approving physician or chaplain		Destroy when obsolete
L6408	Standard Kentucky Rebate Application-Food Processing Program	KAR 501, Chapter 3:100 relating to food services in jails requires that adequate records be maintained relating to meals. The Jail as government entity is eligible to receive government donated foods from the Federal Government. The Kentucky Dept. of Agriculture is the state agency responsible for the administration of the donated foods program in the Commonwealth. The application is a request for a rebate/refund from the Kentucky Dept. of Agriculture for use of government donated foods. Refunds received from that agency must be placed back into the Food Service program at the jail facility.  Name of participant, identification code, address, city and state, zip code, purchased from, address, zip code, months when products purchased plus year, product code number, type of product, case size, number of cases purchased, donated food rebate value per case, net price per case after rebate, total rebate per line item, grand total, applicant signature, title and date.	3	Destroy after audit
L6409	U.S.D.A. Quarterly Food Inventory	KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be maintained relating to meals. As a government entity, the Jail is eligible to receive federal surplus foods to provide an a nutritionally adequate diet for inmates. The record is used to document the quantity of federal surplus food on hand by the agency on a quarterly basis.  Name of agency, county, county code, address, date of inventory, by commodity lists cases, bales or bags on hand in previous quarter, received this quarter, used this quarter, transferred out this quarter and damaged or destroyed this quarter, totals, and in inventory with overages and shortages this quarter, signature line and date.	3	Destroy after audit
L6410	Utensil Count Sheet (Daily) -- (Daily)	KAR 501, Chapter 3:030, Section 6 requires the Jailer to utilize and implement an inventory procedure for property under his control. The record is used to document utensils on hand on a daily basis to protect against theft and to alert staff of the type of utensils taken. Not only is this critical for property administration but also for safety as some of these utensils may be fashioned into weapons for use against staff or other inmates.  Lists type of utensil and number on hand with signature line and date.	1	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Community Corrections  
Food Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6411	Institution Requisition for USDA Foods Entitlement Purchases	<p>KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be retained relating to meals. Since the Jail is a government entity it is eligible to receive surplus foods from the United States Dept. of Agriculture. The Kentucky Dept. of Agriculture is the state agency responsible for administration of that program in the Commonwealth. The record documents an annual request by the jail for USDA foods.</p> <p>Signature of authorized representative, county, phone number, average daily caseload, needy persons served everyday, lists USDA Foods, their sizes and price per case, case/bags requested with total dollar value.</p>	3	Destroy after audit
L6412	Cleaning Supplies Inventory	<p>KAR 501, Chapter 3:030 relating to fiscal management requires that a jailer implement and utilize an inventory purchase to keep track of property in the custody of that office. The record accounts for cleaning supplies on hand and their specific location in the jail facility.</p> <p>Notes POD location and numbers of push brooms, sweep brooms, dust pans, mops, mop buckets and wringers, window cleaner, shower/toilet cleaner, scrub brushes and floor cleaner on hand at each location with officer's initials and date.</p>	1	Destroy
L6413	Delivery Notice for Donated Foods	<p>KAR 501, Chapter 3:100 relating to food services in jail facilities requires that accurate records be maintained relating to meals. As the Jail is a government entity it is eligible to receive government donated foods to provide a nutritionally adequate diet for the inmates in its custody. The record is a notice to the distributor for the delivery of donated foods to the jail facility.</p> <p>Name of institution, account number, arrival date, expiration date, deliver, year, pack size and price per case, route number, order number, total cases, signature line and date.</p>	3	Destroy after audit
L6414	Count Sheet of Meals Served	<p>KAR 501, Chapter 3:100 relating to food services in jail facilities requires that the jailer shall maintain accurate records of all meals served. This record is used to determine the number meals serving on a daily basis for purposes of planning food preparation and food purchases.</p> <p>Date, meal, numbers of officers, court employees, doctors, new inmates, released inmates and those served at any other place.</p>	1	Destroy

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**LOCAL AGENCY RECORDS RETENTION  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Community Corrections  
 Training

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L6415</b>	Application for Training	<p>KAR 501, Chapter 3:040 relating to jail personnel sets minimum training standards certified by the Corrections Cabinet and provides for local and regional in-service training. Jailers receive a minimum of 40 hours annually of certified in-service training while deputy jailers and other correctional officers receive a minimum of 16 hours annually. The application records an individual employees request for training and compiles a list of courses completed or not completed Chapter 3:020 Section 4(5) requires each jail to maintain records on the types and hours of training completed by each employee.</p> <p>Name, SSN, job title, employing agency, employment date, date of birth, sex, course title, training site, total hours, beginning date, ending date, training supervisor, employing agency address, trainees signature, lists of courses, hours completed, not completed, training supervisors signature and date.</p>	50	Destroy
<b>L6416</b>	Training Checklist for Fire Emergency	<p>KAR 501, Chapter 3:070 sets forth safety and emergency procedures to be followed in local jails and relate to the provision of fire emergency planning and the creation of a fire emergency plan. The checklist is meant to acquaint the staff member with those procedures as part of their in-service training and is used to document the fact that the employee has received training in the handling of a fire emergency. Chapter 3:020 Section 4(5) requires each jail shall maintain records on the types and hours of training completed by each employee.</p> <p>Date, employee name, SSN, checklist of six areas of responsibility, signature of instructor and trainee, date.</p>	1	Destroy
<b>L6417</b>	Training Checklist for Booking	<p>KAR 501, Chapter 3:040 relating to personnel in jail facilities shall receive 16 hours annually of in-service training. One of the most critical is the booking(admission) area. The checklist is used document the fact that the jail employee has received training in the facets of the booking area. Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee.</p> <p>Date, employee name, SSN, checklist of twenty-eight areas of responsibility, signature of instructor and trainee upon completion and date.</p>	50	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6418	Training Checklist for Juvenile Area	<p>KAR 501, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. Chapter 3:020, Section 4(5) requires each jail maintain records on the types and hours of training completed by each employee. The Juvenile Area requires a different approach from that for the adult population. The checklist is to document that the jail employee has received training in the Juvenile Area.</p> <p>Date, employee name, SSN, checklist of eight areas of responsibility, signature of instructor and trainee upon completion and date.</p>	50	Destroy
L6419	Training Checklist for Roving Officer	<p>KAR 501, Chapter 3:020 Section 4(5) requires that each jail maintain records on the types and hours of training completed by each employee. Furthermore, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee has received training in the requirements of being a roving officer.</p> <p>Date, employee name, SSN, checklist of twenty-six areas of responsibility, signature of instructor and trainee upon completion and date.</p>	50	Destroy
L6420	Training Checklist for Administration Area	<p>KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the hours and types of training completed by each employee. Chapter 3:040 Section 4(2) also requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record documents that the jail employee received training in the operations of the administrative area.</p> <p>Date, employee name, SSN, checklist for code of ethics, use of force, policy and procedures, timesheets, instructor and trainee signature of completion and date.</p>	50	Destroy
L6421	Training Checklist for Main Control and Control Tower	<p>KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record is used to document the fact that the jail employee has received training in the operation of the main control area and the control tower.</p> <p>Date, employee name, SSN, checklist of twenty-four areas to be knowledgeable about, instructor and trainee signature and date.</p>	50	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6422	Training Checklist for Reports	<p>KAR 501, Chapter 3:020 Section 4(5) requires each jail to maintain records on the types and hours completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee received training in the proper completion of incident reports, daily activity log, work orders, etc.</p> <p>Date, employee name, SSN, checklist for reports, signature of instructor and trainee on completion of training along with the date.</p>		Destroy when reports are superseded
L6423	Jail Employee Training Form	<p>KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee and that a current and accurate record shall be maintained on each employee. Chapter 3:040 Section 4(2) requires that sixteen hours annually of in-service training be provided to deputy jailers and correctional officers. The form is used to record training received by a jail employee. This training is done to acquaint employee with the facility and prepare them to handle a variety of situations.</p> <p>Name of employee, SSN, training course, date, number of hours trained, number of hours to complete course, course completion, instructor signature, trainee signature.</p>	50	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Fire and Emergency Services

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5524</b>	Administrative Orders (V)	<p>This record series is used to document the policies and procedures of the fire department. It is an internal document used in the administration and operation of the agency and includes all areas. The chief issues these as needed. The orders may be general, special or training and they apply to everyone in the agency.</p> <p>This record series contains the date of issue, page #, order #, subject, order numbers rescinded, signature of authority, purpose, and policy and procedure.</p>	P	Retain 1 copy permanently in the Chief's office. Destroy excess copies when superseded or rescinded.
<b>L5525</b>	Annual Report to the Secretary of State	<p>This record series is used to report activities of the fire department that has been created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations). This report is required by this KRS Chapter.</p> <p>This record series contains the name of the department, address, name of trustees, current information for the year, and signature of person presenting report.</p>	P	Retain
<b>L5526</b>	Financial Statement to the State Fire Commission	<p>This record series is used to document the financial condition of a local fire department. The governing body of each recognized and certified volunteer fire department created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations) must submit a financial statement to the State Fire Commission of all funds received from all sources and expenditures of those funds for all purposes. This becomes a part of the official audit. For a fire department that is designated a special district this financial report is also submitted to the fiscal court of the county or counties where the special district is located.</p> <p>This record series contains the name of the fire dept., address, receipts and expenditures, date submitted, person submitting the statement and report.</p>	P	Retain
<b>L5527</b>	Annual Fire Summary Report	<p>This record series is used to document the fire runs made during the year and the type of fire. This is a reporting tool for the governing body and becomes a part of the Annual Report to the Governing Body.</p> <p>This record series contains the breakdown of false alarms, number of fires, number of civilian casualties, estimated property damage from fire, incendiary and suspicious fires, structure fires, vehicle fires and total for all incidents.</p>	P	Retain

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Fire and Emergency Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5528	Summary Financial Statement	<p>This record series is used to document the receipts and expenditures of the fire department (special district) on an annual basis for publication in the local newspaper. This is a form provided by the Department for Local Government is for publication and informational purposes only. It is not designed to satisfy, nor does it fulfill the requirements of a comprehensive annual financial statement prepared pursuant to generally accepted accounting principals.</p> <p>This record series contains the period covered, revenues, receipts and cash, expenditures and address where records are available for inspection.</p>	3	Destroy
L5529	Monthly Fire Summary Report	<p>This record series is used to document the number of fire runs made monthly and the type of fire is used to predict future activity for the purpose of staffing and cost. This summary becomes a part of the Monthly Report to the Governing Body and eventually part of the Annual Report to the Governing Body.</p> <p>This series contains the dates, false alarms, number of fires, number of civilian fire casualties, estimated property damage from fires, incendiary and suspicious fires, structure fires, vehicle fires and total of all incidents. Also included is number of fires in private dwellings, apartments, hotels, residential, public assembly, schools, stores, health care, industry, utilities, fire in highway vehicles, fire outside structures, fire in brush, fire in rubbish, hazard material emergencies.</p>	1	Destroy
L5530	Uniform Financial Information Report (V)	<p>The series documents the financial status of a city from a revenue and expenditure perspective as well as indebtedness. Beginning in the 1990-1991 Fiscal Year, KRS 65.905 required the filing of uniform financial information reports with the Department of Local Government. The Department of Local Government in cooperation with the United States Bureau of the Census developed the report so that a single report would meet the needs of both agencies. In addition, the Department of Local Government is to consult with the Legislative Research Commission and determine an electronic format for providing all reliable data from the report to the Legislative Service Commission. Failure to submit the report shall make the local government ineligible to receive county or municipal road aid money. KRS 65.925 provides that the Department of Local Government file a copy of the report with the County Clerk.</p> <p>Name and address of the special district followed by a multi-part form covering such categories as: (1) Tax Rates; (2) City Revenue; (3) City Transfers and Proceeds from Long Term Debt; (4) Contact information; (5) General Fund Expenditures; (6) Personnel Expenditure; (7) Cash and Investments at the End of the Fiscal Year; (8) New Indebtedness and (9) New Capital Lease Agreements over \$50,000. The instrument is an 11-page document with 1,085 data elements to be completed by the reporting agency.</p>	3	Destroy after audit



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5531	Insurance Rating Organization File ( Insurance Services Office, Inc. {ISO} )	<p>This record series documents the correspondence with the Insurance Services Office, Inc, which is a fire protection rating organization in the State. Also included in this record series are periodic reports and surveys that are used to determine the fire protection rating for a particular fire district. These fire protection ratings are used in determining the insurance rates for a district. The insurance rating classifications are subject to review and approval by the State Insurance Commissioner. These reports and surveys are done periodically and may be superseded at any time.</p> <p>This record series contains correspondence (letters and memos) and the surveys and reports. The surveys and reports may include requests for items needed in doing a survey and a contact sheet containing the names of local government employees or officers. Copy of policy for responding to fire alarms outside city/town/district limits, apparatus and equipment checklist may also be in this file. Information collected includes population from the last two census, area size, total number of alarms called for structural fires, number of non-structural fires and training programs.</p>		Destroy when superseded or becomes obsolete.
L5532	Basic Fire Incident Report	<p>This records series is used to document what happens when a fire alarm is issued and a run is made. The information is entered after each run per KRS 304.13-380. These reports are used by the insurance companies for rating purposes and by the local fire department as a reference to their activities and to document all aspects of a particular fire. This report also be used when there is a suspicious fire and to determine whether the state fire marshall should be called. These basic reports shall be compiled into a monthly statistical report for the state fire marshall. These are sent electronically to that office every 3 months.</p> <p>This record series contains the name of the fire department, fire district #, date of fire run, day of the week, alarm time, arrival time, in service time, type of situation found, type of action taken, fixed property use, address of fire, occupant name, telephone and address, owner name, method of alarm from public, inspection district shift, no. of alarms, number of fire personnel, number of engines responding, aerials responded, other vehicles, number of injuries, number of fatalities, complex, no complex, mobile property type, mobile property-not applicable, area of fire origin, equipment involved in ignition, form of heat of ignition, type of material ignited, form of material, method of extinguishment, level of fire origin, number of stories, construction type, extent of flame damage, extent of smoke damage, detector performance, sprinkler performance, type of material generating smoke, mobile property description, equipment involved in ignition, officer in charge, member making report and date of report.</p>	5	Destroy
L5533	Dispatch Cards	<p>This record series is used to document calls received from citizens reporting a fire. This documents the time of the call and other pertinent information. In some instances the fire and emergency medical service are on the same system. This dispatch may also on tape.</p> <p>This record series contains the name of the fire department, the engine responding, time recorded, time arrived, time cleared, type of incident, the address of the run, name and location of caller.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Fire and Emergency Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5534	Station Log Book	<p>This record series is used to document all daily activities in the fire station. This may include fire runs, duty assignments, duties completed, committee meetings and any personnel actions. Used to document the whereabouts of staff and verify results.</p> <p>This record series contains the date, time, account of activity, weather information. This may be broken down into platoon.</p>	2	Destroy
L5535	Training Records File (C) KRS 61.878 (1a) Change Date: 6/21/2007 (V)	<p>This record series is used to document the on going training necessary for certification as a firefighter. Training and education standards is the responsibility of the State Fire Commission. There are minimum requirements for the certification of fire fighters and for participation in the Professional Fire Fighters Foundation Program Fund. Incentive pay comes from this fund and is contingent upon completion of additional training each year. Part of the requirements is 400 hours of basic training during the first year and an additional 100 hours of certified training every year of employment. The Fire Commission distributes the training material which is taught by a Level II certified instructor. A copy is sent to the Fire Commission every 3 months where it is maintained. Under 815 KAR 45:035 the local fire department or district shall maintain records to document that each participant devotes sufficient hours performing fire service training to qualify for incentive pay. These records may be audited by the Fire Commission for compliance purposes.</p> <p>This record series may contain the name of person receiving training, social security number, date of training, kinds of training, training roster, a copy of high school diploma, certificate from fire schools, fire training tests, emergency medical testing, standardized tests, test scores, score sheets, street and hydrant test, list of training completed (individual training list).</p>		Destroy 5 years after termination
L5535a	Training Records File (C) KRS 61.878 (1a) (V)	<p>This record series is used to document the on going training necessary for certification as a firefighter. Training and education standards is the responsibility of the State Fire Commission. There are minimum requirements for the certification of fire fighters and for participation in the Professional Fire Fighters Foundation Program Fund. Incentive pay comes from this fund and is contingent upon completion of additional training each year. Part of the requirements is 400 hours of basic training during the first year and an additional 100 hours of certified training every year of employment. The Fire Commission distributes the training material which is taught by a Level II certified instructor. A copy is sent to the Fire Commission every 3 months where it is maintained. Under 815 KAR 45:035 the local fire department or district shall maintain records to document that each participant devotes sufficient hours performing fire service training to qualify for incentive pay. These records may be audited by the Fire Commission for compliance purposes.</p> <p>This record series may contain the name of person receiving training, social security number, date of training, kinds of training, training roster, a copy of high school diploma, certificate from fire schools, fire training tests, emergency medical testing, standardized tests, test scores, score sheets, street and hydrant test, list of training completed (individual training list).</p>		Destroy 2 years after termination

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5536	Daily Morning Report	<p>This record series is used to document those employees who are to be working on a particular shift. This is done at each shift to make sure that all positions are filled. This report shows absences, replacements and assignments of personnel.</p> <p>This record series contains the platoon #, shift commander name, officers names, date, weather information, apparatus assignments, housekeeping assignments, absences and names of replacements.</p>	1	Destroy
L5537	Personnel File - Duplicate ( Official copy is maintained in the government's personnel office). (C) KRS 61.878	<p>This record series is a duplicate of the official copy maintained in the governments personnel office. It is used mainly as a quick reference to inquire about such things as habitual tardiness or other day to day personnel activities of individuals stationed at the fire department. This file may contain unofficial notes and references relating to individual employees that are not considered worthy of being placed in the official personnel file.</p> <p>Contains copies of the daily attendance, time sheets, certifications, change of status, evaluations, medical records, reprimands, recommendations, education material, workers compensation claims, absence reports and other personnel reference material.</p>		Destroy after termination of employment and review by personnel office.
L5538	Inspections of Property File	<p>This record series is used to document inspections made by the fire department of all property for the purpose of ascertaining and making sure that corrections are made of any conditions likely to cause fire loss, or discovering any violation of a law or ordinance relating to fire prevention and protection. There are certain facilities that must be inspected yearly and they include day care centers and schools. New businesses and businesses that change hands are also inspected. If there is a violation the facility has 10 days to appeal.</p> <p>This series contains a basic inspection form which has the date inspected, case no., county, status, priority, facility name, building name, complex code, phone, address, alarm systems, sprinkler systems, occupancy load, size of facility, type of construction, violations, and name of inspector.</p>	5	Destroy
L5539	Notification of Violation (V)	<p>This record is used to document those facilities that are in violation of a law or ordinance relating to fire prevention and protection and any fire code issued. This notification is sent to the facility that has been inspected and found to have a fire hazard or is not in compliance with the building code sections that relate to fire prevention. The amount of time to come into compliance is listed on this notification. This violation notice may trigger an appeal or the fixing of the problem by the owner of the facility.</p> <p>This record series contains the name of the violator, address, party notified, title of party, date, list of violations, time period in which the violation is to be corrected and the name of the inspector.</p>	7	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5540	Daily Apparatus Checklist	<p>This record series is used to document all vehicles, generators, breathing apparatus, chain saws and any other items used in the day to day work of the fire department have been checked for performance capabilities. This is done daily to ensure that the vehicles and other apparatus are in good condition and are being maintained to the highest level of readiness.</p> <p>This record series contains the date, shift, operator's name, items checked before apparatus is started, with apparatus running outside, generator checks, and breathing apparatus checks. Each one of these has a list of items to be checked.</p>	1	Destroy
L5541	Hose Test Report	<p>This record series is used to document that the hoses have been tested according the National Fire Assoc. guidelines and that there are no problems. Tested for pressure adherence and fitting durability. The insurance rating companies use this grading fire districts when issuing insurance rates.</p> <p>This record series contains the date of testing, unit# or engine #, officer in charge, description of item tested, hose size, test psi, # of feet tested, # of feet passed, # of feet failed and comments.</p>	5	Destroy
L5542	Ground Ladder Test Report	<p>This record series is used to document that the ground ladders are tested and inspected, usually on an annual basis and that they are in good repair. The testing is completed according to the National Fire Protection Standards and the results are used not only for repair purposes but are used by the insurance rating company in grading the fire district for setting insurance rates.</p> <p>This record series contains test date, inventory #, location, manufacturer name, length, number of sections in ladder, testing of the rails/rungs, hooks, halyards, strength test measurements and person doing the testing.</p>	5	Destroy
L5543	Aerial Ladder Test Report	<p>This record series is used to document the testing of the aerial ladders which are attached to the fire trucks. This is done for UL certification purposes and a certificate of aerial device inspection and test by the American Test Center. Tested to ensure that it is in good working condition. This test may be run more than once a year but usually completed once a year.</p> <p>This record series may contain the Certificate of Inspection and Test and the test itself which includes the name of the fire dept. ladder model, test #, horizontal load test, maximum elevation load test, rotation bearing clearance, elevation cylinder drift, throttle control, relief valve psi, trigger cylinder drift test, extension cylinder drift test, operating test, water system test, date of test and tester.</p>	5	

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5544	Pumper Test Report	<p>This record series is used to document that the pumper on the truck is in good working condition and is used in the certification process by the National Fire Protection Association. Also used by the insurance grading companies for insurance rates for the district.</p> <p>This record series contains date of test, apparatus tested, temperature, time, manufacture date, manufacturer, mileage, fuel used, test site, make, model, serial number, acceleration, vacuum test, pumping data, capacity, and tester.</p>	5	Destroy
L5552	Schedule II Drug Inventory List	<p>This record series is used to document those drugs which have a high potential for abuse. These are used in emergency services.</p> <p>This record series may contain the name of drug, date of receipt, and amount.</p>	1	Destroy
L5546	Routine Investigation Files (V)	<p>This record series is used to document follow up investigations by the fire department personnel of fires that are determined not to be of a suspicious nature and does not result in felonious criminal action. These investigations may produce findings that the fire was caused by accidental or careless acts. They may result in misdemeanor charges for some violation. These may be sent to the state Fire Marshall.</p> <p>This record series may contain the location, time, equipment used, hydrant used damage done, firemen involved, summary report, photos and results.</p>	5	Destroy
L5547	Felony Investigation Files (V)	<p>This record series is used to document those investigations of fires that are determined to be arson or where there is a fatality. These may be resolved or they may be open and never resolved. These investigations may result in felony charges being brought.</p> <p>This record series may contain the location, time, equipment used, hydrant used, damage done, firemen involved, summary report, photos and results.</p>	80	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5548	Hazardous Material Report (V)	<p>This record series is used to document those facilities that have an inventory of hazardous materials as determined by EPA. These reports also may be of one time spills or release of these hazardous materials and the response of the fire department. This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.</p> <p>This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments. This record series also may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.</p>	3	Destroy
L5549	Knox Box Application File	<p>This record series is used to document those facilities that have applied for a Knox Box (miniature safe) to be installed outside the building. This is placed on the building and a key to the premises is placed in the safe. If there is fire or the alarm is sounded and the fire department responds they can get a key from this box. The owner of the facility buys the box. The fire department has the only key to the box. Usually used when an alarm is sounded at the facility. This gives the fire department access to see if there really is a fire.</p> <p>This records series may contain the name of owner, address of facility, amount paid, type of alarm system, where the box is located. Layout of facility.</p>		Destroy when no longer active
L5550	Garage Maintenance Monthly Report	<p>This record is used to document the work completed on the vehicles and other equipment during a given month. This may be used as a reference of in case there is some question about the operating efficiency of the equipment.</p> <p>This record series may include date, time, equipment/vehicle serviced, and what was done.</p>	3	Destroy
L5551	Street Closure/Alarm Systems Out of Service File	<p>This record series is used to document street closings and alarm systems that are out of order. This file is used as a reference when routing to a possible fire or emergency. Notification of out of order alarms alerts the Department that the alarm must be repaired.</p> <p>This record series may contain the name of street, duration of closing, address of facility, name of alarm service.</p>		Destroy when no longer useful

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5545	State EMS Run Report (C) (V)	<p>This record gives documentation of aid rendered, is a medical assessment, and serves as the primary billing record. A copy of this record is also frequently provided, at patient's written request or upon court order, for legal and insurance purposes. Cabinet for Human Resources Administration Regulation (902 KAR 20:155) requires that this record be forwarded to the Cabinet in accordance with submission dates established by the Cabinet. A new CHR regulation (902 KAR 20:117) requires that the EMS Run Report be kept confidentially and for a minimum period of five (5) years from the last date of service, or in the case of minors, until five (5) years beyond the age of majority, which is 18 years.</p> <p>Month, day, year, pick-up location, county code, ambulance service license, time calls come in and time transferred, mileage record, nature of run, patient name and address, driver/attendant, vital signs, chief complaint, case narrative, destination, doctors, patient assessment and aid administered.</p>		Destroy after 5 years and audit. In the case of a minor destroy 5 years beyond age 18.
L5747	Patient Statement -- (This is the bill for services rendered) (V)	<p>The function of the patient statement is to obtain payment from the patient for services rendered. This is the collection record - the bill for services which the EMS Unit mails to the individual who received ambulance service.</p> <p>Date, Patient Name and Address, Description of services rendered, Charges, Payments and Credits, Previous balance, Total payments and credits, Current charges, Total, Provider name and address. Date of run and from-to locations.</p>	3	Destroy after audit
L5748	Patient Health Insurance Claim Forms (C) KRS 61.878:1a - Diagnosis and Personal I.D. Info. (V)	<p>This record functions to bill the Health Insurance Provider for services rendered to the patient. Health Insurance Providers include: private insurance companies, Medicare, Medicaid, Workman's Compensation, military, etc. This is a duplicate of the health insurance claim form filed by the EMS Unit on behalf of the patient.</p> <p>Patient and insured (subscriber) information: name, address, codes, etc; Physician or supplier information: diagnosis, itemized amounts charged for services, dates provided, physician identification, etc.</p>	3	Destroy after audit
L5749	Monthly Payments Audit Sheet -- (This is a record of all payments received for services rendered)	<p>This is a record of all payments received for the month. It serves as a monthly payments audit. It is prepared in order to balance with deposits that have been made and to report to the City Commissioners, Fiscal Court, or other reporting body.</p> <p>Paatient name, run number, payer, transaction date, amounts disallowed, paid, adjusted.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5750	Daily Payments Audit Report -- (This is a record of all payments received for services rendered)	<p>This is a daily record of receipts for services rendered. It is used to balance with the daily deposit. A cumulative monthly report is also generated.</p> <p>Patient name, run number, payer, transaction date, amounts disallowed, paid, or adjusted.</p>	3	Destroy after audit
L5751	Daily Charges Audit Sheet	<p>This is a record of how many charges were made for the day. This is used to check that all charges for services rendered were actually entered into the computer for billing. Once the daily charges have been balanced, this report has served it's purpose. A monthly report is generated at the end of each month.</p> <p>Patient name, run number, run date, insurance provider, miles, time, charges.</p>	1 month	Destroy
L5752	Monthly Charges Audit Sheet	<p>This is a monthly report of charges for services rendered. It provides a record of total charges for the month and is used for reporting and auditing purposes. This is an accumulation of the daily charges audits. It verifies that all charges for the month are recorded.</p> <p>Patient name, run number, run date, insurance providers, miles, and charges.</p>	3	Destroy after audit
L6354	Medical Surveillance File (Hazardous Materials Exposure)	<p>This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.</p> <p>This record series contains date of exposure, amount, time, type of exposure, incident report, physical exam, and actions taken.</p>	30	Destroy



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**Public Records Division**  
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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Chief of Police

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4831</b>	Department Policies and Procedures (V)	<p>This record series is used to document the structure of the department and how all units within the department are to carry out their responsibilities. This includes the personnel and what each unit is responsible for and how the process is to be completed. These policies and procedures may change due to state and federal guidelines, regulations or law and because of local regulations or laws.</p> <p>This record series contains the administrative layout of the department, what each unit is responsible for and the steps to be taken to carry out their responsibilities. Personnel guidelines are included.</p>	P	Retain 1 copy permanently. Destroy excess copies when updated.
<b>L4832</b>	Annual Report	<p>This record series is used to document what the law enforcement agency accomplished in the past year. This is basically a statistical report of what each bureau/unit/section of the agency did in that year. Usually there is an organizational chart, listing of staff, narrative &amp; statistical information for each bureau/unit/section and personnel changes. The statistical information is taken from the monthly activity reports of the following areas: agency head(chief usually), administration and services, patrol, community services, traffic, investigations, traffic and personnel. This series is used by the governing body in appraising the efforts of the agency and as a comparison from year to year. Also this report is used as a public relations instrument to communicate the yearly accomplishments of the agency; what areas are of concern to the agency and what the agency is prepared to do to improve on those areas.</p> <p>This record series may contain a message from the agency head(chief), organizational chart, staff listing, a section for each bureau/unit/section containing statistical information and narrative about each. Also there may be comparison charts and graphs for crime and traffic. There may be section for personnel changes and promotions.</p>	P	Retain 1 copy permanently. Destroy excess copies when updated.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4833	Orders (General, Special and Training Bulletin) (V)	<p>This record series is used to document the policies and procedures of the law enforcement agency. It is an internal document used in the administration and operation of the agency and includes all areas. These come from the head(chief) of the agency as needed. They are issued by the chief after consultation with the staff. The orders may be general, special or training bulletins. A general order applies to everyone in the agency. A special order applies to a specific area or subject. A training bulletin is issued for any changes in the training procedures. Orders are issued to comply with the Commission on Accreditation for Law Enforcement Agencies (CALEA). There are only five law enforcement agencies in the state accredited by CALEA.</p> <p>This record series contains the date of issue, page # and number of pages, order #, subject, order numbers rescinded, CALEA standards, signature of authority(chief usually), purpose, policy and procedures.</p>	P	Retain 1 copy permanently. Destroy excess copies when superseded or rescinded.
L4834	Official Correspondence	<p>This record series documents the policy, historical and legal functions, activities, events and programs of the local agency. Primarily this correspondence may explain or define the operations or policy of the agency and may take the form of letters, memos, surveys and other communication between the head of the agency and others. This record series may form the basis for policy formulation, the decisions made and the effect on the public.</p> <p>This record series may contain letters, memos, note, electronic mail and other forms of communication.</p>	P	Retain

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 Public Safety  
 Police Department  
 Bureau of Administration and Services

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L4848</b>	Radio Run Tapes (C) KRS 61.878 (1a)	<p>This record series is used to document incidents reported to the police department. Whenever an incident is being investigated, standard operating procedure is to copy the particular incident onto a cassette tape for the investigator.</p> <p>The information may vary but usually will have the time, date, name of person calling and subjects covered.</p>		Erase and reuse in 60 days.
<b>L4849</b>	Radio Run Cards (C) KRS 61.878 (1a)	<p>This record series is used to document dispatches that come into the agency. These cards will only be used when the computer aided dispatch system (CADS) is not operational. When the system is operational, all data recorded on the cards is entered into CADS. This is done within the next shift. There may be cards to differentiate emergencies from non-emergencies.</p> <p>This record series may contain the unit assigned, backup, location, incident, other, complainant, address, phone, disposition, beat, incident code, census tract, received by, dispatcher, received, dispatched, arrived, cleared, out booking, cleared booking, whether a wrecker is needed.</p>		Destroy after entered into CADS.
<b>L4850</b>	NCIC/LINK Teletype Message File	<p>This record series is used to document the information received daily through the National Crime Information Center (FBI). This is in the form of messages received by teletype about the criminal behavior of persons. This also involves any information about stolen vehicles. This information is used in the day to day business of the agency and as an investigative tool. Once the information is updated or becomes obsolete it is considered inactive. Messages are stored on a server and backed up daily/monthly. Backup tapes are maintained 2 months.</p> <p>This record series may contain, directory information about persons, crimes committed, offenses committed and any messages.</p>	2 months	Destroy
<b>L4851</b>	Emergency Business Locator Card	<p>This record series is used to document those persons who are to be contacted after hours in case of a break-in of a business. These are updated regularly.</p> <p>This record series may contain the name of business, address, date filed, phone, name of person to notify(at least 2), and remarks.</p>		Destroy when obsolete.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4852	Soliciting List	<p>This record series is used to document those persons that have applied to solicit door to door. This is maintained in the Chief's office and is updated periodically. Used as an investigative tool if there crimes or violations committed by those people.</p> <p>This record series may contain the name of solicitor, address, phone, company represented, time and date of solicitation.</p>		Destroy when obsolete.
L4853	Record of Arrests (Cards, Book or File) (V)	<p>This record series is used to document the arrest process. These are generated at the Detention Center upon booking and entered into a database. The records are maintained by the date and time of arrest. There is no separation of felony and misdemeanor arrests. The information concerning the felony arrests is subsequently put with the Criminal History Jacket.</p> <p>This record series contains the name of the subject, address, ss#, height, weight, race, gender, booking information, charge, offense, date of arrest, arresting officer, place where arrested, time , marital status, mug photo and other information.</p>		Destroy felony file 50 years after arrest.
L4854	Uniform Crime Monthly Report	<p>This record series documents the felony crimes which have occurred in a law enforcement agency's jurisdiction within a month. The data may be submitted to a state Uniform Crime Reporting Program or directly to the National Uniform Crime Reporting Program (F.B.I.). Most of the local law enforcement agencies submit this report to the Kentucky State Police which in turn submits it to the F.B.I.. This data is used to show nationwide trends and statistics for the purpose of comparison and to learn from other agencies. The crimes documented are Part I and include rape, murder, homicide, manslaughter, assault, burglary, auto theft, arson, robbery, larceny and theft. This report is not mandated but each agency is strongly urged to participate. This report is a must if grant funds are to be received by the local agency. This report deals with the nature of crime and the monetary value of property stolen and recovered as well as those officers injured or killed in the line of duty.</p> <p>This record series may include the classification of offenses and whether they were unfounded, just attempts, false, baseless, actual offenses, total offenses cleared by arrest or exceptional means, number of clearances involving only persons under 18 years of age. Also included is a report for crimes committed and the monetary value of property stolen and recovered, a report of law enforcement officers killed or assaulted.</p>	2	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4855	Uniform Police Traffic Accident Report (V)	<p>This record series is used to document and report accidents whether one or multi-vehicle. This is a two part form which is uniform throughout the state and is used by all law enforcement agencies. The original is sent to the Kentucky State Police where the data from the form is input into a database. The hard copy is sent on the Department of Transportation(Traffic Section). This form is in the process of being updated to a 1 page form that will be scanned and sent electronically to the KSP. The information will be the same. This is used as a reference and is used in producing accident reports.</p> <p>This record series contains the local code, agency id, master file no. investigating agency, killed, injured, state of investigation, date/day/time of accident, trafficway no. or name, town, county, intersection, between street, ram, mile post, speed limit, a section for unit 1 and unit 2 and includes the same information which is: operators lic. No. state, restriction, code, compliance, name of operator, address, owner name and address, motor carrier name and address, vehicle make/year/model, state of registration, insurance co., what happened, diagram of vehicle and the damage inflicted, property damage, owner/address, tests for alcohol and drugs(whether taken), witness information, enforcement action, citation or case #, KRS number, offense, photos taken(yes/no), investigator, I.D. #, beat or post no., time notified, time arrived, scene cleared, reviewed by.</p>	3	Destroy
L4856	Uniform Citation File (C) KRS 61.878 (1a) (V)	<p>This record series is used by all peace officers in the commonwealth for all violations of the traffic laws and for all felonies, misdemeanors and violations(KRS 431.450). This form consists of an original document and five copies which are serially numbered in such a manner that the year of issue and the individual citation number may be readily ascertained and is approved by the State Supreme Court. One copy goes to the customer, one to Drivers Licensing, one to Detention, one remains in the law enforcement agency and the original to District Court. It is issued by law enforcement officers and is used as the basis for establishing court appearance dates and to begin the judicial process. The information is used by law enforcement officers when testimony concerning the incident is required. It is also used as one input document for the Criminal History Information System.</p> <p>This record series contains the offender/violator section(name of agency, name of subject, alias, address, I.d. number, ss#, date of birth, sex, race, home phone, emergency phone, resident status, marital status, victim's relationship to offender, ethnic origin, height, weight, hair color, eye color, alcohol/drug involvement), vehicle section(make, type, year, color, state registered, year registered, registration no. identifiers, mph, in mph zone), date/time section(violation date, time, exact location of violation/arrest, boa. results, date of arrest, time, miles, direction, city, county of violation), charges section(violation code, statute/ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison, probation time), court section(court date, court time, court location, court case no. disposition date, trial, clerk's initial), post-arrest section(post-arrest complaint) and case section(name of witness, address, case no., carried by contributor, fingerprints taken, photos taken, evidence held, officer's signature, badge/I.d. number, assignment).</p>	2	Maintain the current year and previous year and destroy all others.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4857	Complaint and Offense Report (C) 61.878 (V)	<p>This record series is used to document the events surrounding the filing of a complaint, where a crime has been committed and to describe the start of an investigation. This actually begins the investigation process and is used extensively while the investigation is in progress.</p> <p>This record series may contain the complainant name, address, file no. crime report no., a victim section(directory information), an incident section(the type of offense, location of occurrence, week/date/time of occurrence, weather at time of offense, date /time of report), injury section(type of injury whether accidental, assaulted, found dead, self inflicted, removed from, removed by, nature of injuries, status of injured party, if rape, was examination performed), narrative section, whether or not to prosecute, whether a warrant is to be issued, case status, solvability factors, reporting officer, employee no./badge no., approving supervisor, is follow-up needed, a vehicle section, property section, suspects section, uniform crime report section and a supplementary report page if more space is needed.</p>	3	Destroy
L4858	DUI Case File (C) 17.150 (2) (V)	<p>This record series is used to document the arrest of persons for D.U.I. and may include the intoxilyzer test results. This report is used as a reference when doing background checks and to verify any D.U.I convictions that may result from this report.</p> <p>This record series includes a D.U.I. field report( name of subject, address, sex, race, date of birth, age, day/date/time arrested, arrest location, vehicle year, make, model, color, license, state, expired date, impounded, where left, weather, accident, injuries, description of driving characteristics that caused the officer to suspect a D.U.I violation, distance observed before stop was attempted, road/traffic conditions, field sobriety test given, field test surface, suspect physical description, odor of alcoholic beverages noted, physical appearance, photos taken, rights advised, time, questioning of suspect, witness information, arresting officer, employee #/badge #, date/time report completed and additional narrative information). Also there may be intoxilyzer test results which is usually taken at time of booking.</p>	5	Destroy
L4859	Criminal History Jackets(I.D. Jackets) (C) KRS 17.150 (4) (V)	<p>This record series is used to document an individuals felony criminal record. At the time of booking a person all directory information is attained and is kept with this jacket. This history gives each crime committed and subsequent actions taken including any corrections activity. This file is very important in the investigation process and is maintained up to date through the cooperation with the F.B.I. And the Kentucky State Police.</p> <p>This record series may contain the offender index, adult case summary(history of arrests), fingerprints, photos(mug shots), F.B.I. Information(rap sheet), final disposition sheet, other agency abstracts, correction's information, notice of transfer or parole and alias file.</p>	50	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4860	Criminal History Index File (C) KRS 17.150 (4) (V)	<p>This record series is used as a finding aid for the Criminal History Jacket. These records are used extensively for investigations. This may be a card file or an alphabetical listing.</p> <p>This record series may contain the name, mug shot, age sex race, date of birth, last known address, arrests, date of arrests, offense, disposition of case, and social security #.</p>	50	Destroy
L4861	Report of Payroll Hours (V)	<p>This record series is used to document the hours worked by the employees and is sent to the Dept for Human Resources where the payroll check is issued. This report is of all employees.</p> <p>This record series contains, the date, payroll period, name, straight hours, ot hrs, vacation balance, sick hrs, holiday balance, holiday hrs., awl hrs, pay adjustments, comp time, and explanations.</p>	2	Destroy after audit.
L4862	Daily Attendance Report (V)	<p>This record series is used to document the daily attendance of each employee and is used as an input document and has basically the same information as the time card.</p> <p>This record series contains the daily attendance by name, employ #, the duty, type of absence and notes.</p>	2	Destroy after audit.
L4863	Time Recording Book	<p>This record series is used to document the time worked for each person by bureau or section. Used as a reference by each unit to fill requests by employees or to double check the time card. Completed monthly.</p> <p>This record series contains the month ending, year, bureau/section, name of employee, rank, days worked, hours and absences.</p>	2	Destroy after audit.
L4864	Time Cards (V)	<p>This record series is used to document the time worked by employees worked during the pay period and to start the payroll process. These are sent in by each unit and bureau to the payroll office. The time is kept in each bureau. The information is entered into the database and sent to the Dept. of Human Resources.</p> <p>This record series contains the employee #, phone, name, address, pay period, hours for each day worked, biweekly pay period summary, signature of employee, miles driven, standard time, overtime and comp time.</p>	2	Destroy after audit.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4865	Master Time Record Book Closed Date: 12/1/1991	<p>This record was used to document the pay periods of each employee. This record is no longer being created and was last created in 1991. The information may be found in the Master Earning Record in the Department for Human Resources.</p> <p>This record contains the name, employee #, directory information, hours worked, type of pay, and pay period.</p>	0	Destroy
L4869	Grant Files - Federal and State (V)	<p>This record series is used to document all grants received, applied for, and to collect data for future applications. The information is used to make application for federal and state funds. Also it is used to make requests for reimbursement for overtime pay for extra enforcement. These grants may be through the Justice Department (Federal) and other agencies. This file documents the application process and any reporting that has taken place during the grant period. Also supporting financial documentation is included.</p> <p>This record series may contain the application, supporting documents, grant contract, program monthly activity reports, program monthly financial reports, program year-end summary report.</p>		Destroy 5 years after submission of final report.
L4870	Motor Vehicle Impoundment Record	<p>This record series is used to document any towing of a vehicle done at the request of a law enforcement officer. Usually after a period of time (30-60 days) notice will be sent to the owner and if not picked-up it will be salvaged. These autos may be impounded because they have been involved in an accident, been stolen, burned, result of a traffic/parking violation or stolen.</p> <p>This record series contains a vehicle inventory, description, condition, officer impounding vehicle, badge #, wrecker driver, date/time impounded, a release(includes name address, released by, date/time, report no., received by, date/time, vehicle description, license #, make model, color, vin., towed from, towed to, vehicle owner, address, driver or person last in possession, address, phone, condition(running, wrecked, burned, stripped, not running), if stolen, reason for impounding, reasons for holding, reasons for releasing.</p>	1	Destroy
L4871	Vehicle Maintenance File	<p>This record has primarily administrative and legal value. In agencies where they buy the vehicles, this record is kept to document the expenses of purchasing, servicing, and maintaining its vehicles. This information is logged monthly from information kept by the officer. This record is used in planning his budget. This record series may be kept for the life of the vehicle and is also used to verify the condition of the vehicle in case of claims brought against the agency or employee. This file establishes the history of the vehicle and includes any accidents causing damage and the repair costs for those.</p> <p>Information in this file includes: unit number and/or vehicle identification number, month and year reported, miles driven that month, gas cost for the month, number of gallons of gas purchased that month, miles per gallon, parts and repairs for the month and totals of these months for the year. The payment of any bills will be maintained in the Accounts Payable file.</p>		Destroy 5 years after the vehicle is no longer in service.



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5753	Video/Audio Recordings (Patrol Cars) (C) KRS 189A.100(2)(e) Change Date: 9/12/2002	<p>These records are used to document the pursuit, the traffic stop, field sobriety tests administered at the scene or such tests at a police station, jail, or suitable facility. The recordings are done for all traffic stops. The traffic stops and pursuits may be for criminal activity, traffic violations, DUI violations and any other reasons for the stopping of a vehicle. A tape may last a week or more for each officer.</p> <p>These records contain the name of the officer, date, time and the action taken at the scene.</p>		Retain all recorded DUI related incidents 14 months if there is no appeal or if it does not document the actual happening of an accident involving a motor vehicle or after a decision has been made not to prosecute. Destroy upon order from District Court. If the actual happening of an accident is recorded, retain 26 months if there is no appeal. Destroy upon order from District Court. Retain all other recordings for 30 days, then destroy or reuse.
L5754	Video/Audio Recording Log Change Date: 9/12/2002	<p>This log is used to document the video/audio recordings of every traffic stop that is completed by patrol officers. It is used to track the video and as a quick reference. Also used in the disposal of the tapes when the retention period has been completed.</p> <p>This record series contains the tape number, date from, date to, actual date, time, incident #, violator's name, citation #, charges.</p>		Destroy after recordings are destroyed

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6295	Peace Officers Professional Standards (POPS) Background Check (C) KRS 15.400 (3) KRS 61.878 (1) a Change Date: 12/10/2009	<p>This record series is used to documents and verifies that a person applying for employment by the police department has gone through a series of background checks. The Peace Officer Professional Standards (POPS) dictate what the minimum standard is for becoming a peace officer in Kentucky. Those applying must meet 16 pre-employment requirements before they can be considered for employment. These standards are issued the Kentucky Department of Criminal Justice Training, Kentucky Law Enforcement Council.</p> <p>This record series contains drivers license check, criminal record check, polygraph results, references, applications, transcripts, military history, credit reports, birth certificates and neighborhood checks.</p>		<p>If Hired - Destroy 60 years from first date of hire If Not Hired - For those who have taken a polygraph - Destroy 20 years after denial and close of any litigation. If Not Hired - For those who have not taken a polygraph - Destroy 5 years after denial and close of any litigation.</p>
L6391	NCIC Criminal History Requests (C) KRS 61.878 (1)(a)	<p>This record series is used to document requests received for criminal histories that are a part of the NCIC information network. This information is used to match the information from the NCIC with the corresponding investigative history case file.</p> <p>This record series may contain the name, date of birth, sex, race, ss#, purpose of inquiry, requesting officer, employee #, clerk receiving request and date submitted.</p>	3	Destroy
L6392	NCIC Entry/Cancelled Packet (C) KRS 61.878 (1)(a)	<p>This record series is used to document entries into and subsequent removal or cancellation of the entry from the NCIC information network.</p> <p>This record series may contain the investigating officer's complaint and offense report, initial entry message and cancellation message.</p>	1	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4872</b>	Drug and Alcohol Related Education (D.A.R.E.) Program Participation Files	<p>This record series is used to document participation in the DARE program by the law enforcement agency and students/schools. This is implemented in the schools by the local law enforcement agency throughout the state. This is conducted for the purpose of making young people aware of the dangers of drugs(tobacco, alcohol, marijuana, inhalants and all others). This program is voluntary and each student must sign up for this. The programs are presented by local law enforcement agency personnel at different times during the school year. A census form must be completed by the DARE officer and sent the Kentucky State Police DARE Unit. This is statistical information with no student I.D. information although there is a listing of the principal and classroom teachers. Each local law enforcement DARE officer must fill one of these out after each session.</p> <p>This record series may contain the parent letter(to be signed by the parent/guardian giving permission to participate in the program, census form)detailing each DARE session, including the names of principals and classroom teachers, when and where the session took place, directory information and the signatures of the school principal and D.A.R.E. officer) and participants evaluations of the session. This file may also include a yearly report of all sessions held.</p>		Retain the parent permission letter until student(class) graduates, then destroy. Destroy all other documents in 2 years.
<b>L4873</b>	Crime Prevention Program File	<p>This record series is used to document programs conducted by law enforcement agencies for the purpose of making the public aware of the agency's role in the community and to bring about better cooperation and communication. These are programs are designed and conducted by the local law enforcement agency. All of them are geared toward more public involvement in crime prevention and a better understanding of the role of law enforcement agencies in the community. These may be programs focused on neighborhoods, special groups or the whole community. There may be a program where the public sector is invited to participate in the actual law enforcement process and trained to conduct, along with law enforcement personnel, workshops, seminars and meetings for the purpose of crime prevention.</p> <p>This record series may contain the program and meeting report, quarterly report of neighborhood meetings or safety watch meetings, citizen surveys, business security surveys, and Cetch program files, program guidelines, goals, participation information, dates and time of presentations, listing of those in attendance, where the program was held, program personnel and evaluations. A yearly statistical report of results may also be maintained.</p>	5	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4874	Citizen Police Academy Program File	<p>This record series is used to document this education program whereby citizens are allowed to have hands on experience in the workings of the police department. This is an eight week course whereby the citizen is able to go on patrol and make calls. Training is also provided and a certificate is given at the end of the 8 weeks.</p> <p>This record series contains the application by citizens, waiver to ride with officer on patrol, criminal history check authorization and related information about the program.</p>	5	Destroy
L4875	Police Activities League (PAL) Monthly Report Summary	<p>This record series documents the activities of the PAL program for the month. The program provides activities for economically deprived youth and includes athletics, tutoring and other activities. There are three locations in the housing projects. This report summarizes the activities at each location.</p> <p>This record series contains the monthly summary, officer name, day of month, programs and participants.</p>	5	Destroy
L4876	Crime Free Multi - Housing Program File	<p>This record series is used to document the education program for crime free multi-housing. This is a program whereby police officers present seminars at locations throughout the city for the purpose of informing the public on crime prevention and is designed to help residents, owners and the managers of rental property keep drugs and other illegal activity off their property. The program consists of prevention and applicant screening, drug nuisance abatement, and provides resource material.</p> <p>This record series contains the application for volunteer participation, release form, waiver of right to carry firearm, authority to release information form and informational material.</p>		Destroy 2 years after program's termination.
L4877	Security Surveys (Business & Home)	<p>This record series is used to document inspections of homes/businesses and consultations with homeowners and business owners concerning the security of those facilities. These are conducted usually by request of the owners and may result in better security. The law enforcement agency may give recommendations which the owners may act on.</p> <p>This record series may contain the name of the homeowner/business owner, address, time/date of survey, inspection documentation and recommendations.</p>		Destroy when obsolete or superseded.
L4878	Deposit of Funds Collected	<p>This record series is used to document the deposit of Cetch funds with the Division of Revenue. This is in memo form.</p> <p>This record contains the name of person sending, name of person receiving, date, amount of each check and cash and the total deposit.</p>	3	Destroy after audit.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4879	Extra Patrol Request	<p>This record is used to document citizens complaints for more patrols in an area for one reason or another. These are forwarded to the Bureau of Patrol.</p> <p>This record series contains the date, complainant, address, phone, person completing the form, comments, location, complaint, times, suspects, assignment, follow-up contact, date officer assigned, times checked, comments and observations.</p>	2	Destroy
L4880	Trigger Lock Program File	<p>This record series is used to document those persons participating in the Trigger Lock Program. A citizen may fill out a form to receive a free trigger lock. A release must be signed by the recipient saying that he/she alone is responsible for the firearm and the locking of it.</p> <p>This record series contains the general release and firearms safety guidelines.</p>	P	Retain

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4885</b>	Felony Investigation Case File(Non-Homicide) (C) KRS 17.150 (2) (V)	<p>This record series is used to document all investigative procedures followed when a felony has been committed. These include robbery, rape, assaults, wanton endangerment, burglary, larceny, arson, auto theft and all other felonies. This is a compilation of all material gathered in a felony investigation. All cases are considered open while actively being investigated. At some point in time they will become suspended which are those cases which have been cleared by arrest; the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court(found guilty, dismissed) ; the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by CALEA these files must be transferred to the Records Division/Records Center.</p> <p>This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroner's report, autopsy report, cassette tape log, victim information, victim statement, witness list/information/statements, suspect information, suspect statements, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighbor hood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas and citations.</p>	50	Destroy
<b>L5845</b>	Felony Investigation Case File (Homicide) (C) KRS 17.150 (2) & KRS 61.878 (h) (V)	<p>This record series is used to document all investigative procedures followed when a homicide is involved. This is a compilation of all material gathered in a homicide investigation. All cases are considered open while actively being investigated. Under some circumstances these may remain open forever while others may not be actively pursued. At some point in time they will become suspended which are those cases which have been cleared by arrest; the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court(found guilty, dismissed) ; the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by Commission on Accreditation for Law Enforcement Agencies (CALEA) these files must be transferred to the Records Division/Records Center.</p> <p>This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroner's report, autopsy report, cassette tape log, victim information, victim statement, witness list/information/statements, suspect information, suspect statements, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighbor hood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas and citations.</p>	P	Retain

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4886	Investigations other than Felonies File (C) KRS 17.150 (2)	<p>This record series is used to document all information collected and procedures followed after a incident/offense report has been filed relating to a case other than a felony. These may be misdemeanors, citations given or violations. An arrest is not always made when a violation has occurred. This file is used in the resolution of the case. These are active, inactive, closed, open and suspended investigative files.</p> <p>This record series may contain a copy of the uniform offense report, uniform citation report, the investigative report, evidence, photos of crime scenes, photos of suspects, interviews, statements from victims/witnesses/suspects, audio and video tapes, arrest warrants, fingerprints, lab information, criminal history information, correspondence, subpoenas, citations, pleas, sentences and prosecution data.</p>	5	Destroy
L4887	Fingerprint File (C) 17.150 (2)(4)	<p>This record series is used to document the fingerprints of those persons arrested. These fingerprints have been taken by the law enforcement agency in the past but now are included with all other data by the jail at the time of booking. These are used to identify suspects, missing persons and other persons who need this type of identification for their job or security clearance. These files are also in the custody of the F.B.I and the Ky. State Police although there may be discrepancies. These are used extensively in the investigative process and for identification.</p> <p>This record series may contain the name, social security #, age, date of birth, sex, race, height, weight, eyes, hair, alias, marital status, employer, occupation, booking officer, arresting officer, transporting officer, agency, authority for arrest, arrest time, booking date, booking time, location of arrest, cell location, property #, security classification, I.d. number, complaining witness, fingerprints(all fingers), date of arrest, copies sent, date of offense, place of birth, scars, marks, tattoos, country of citizenship, residence, charge/citation, disposition, additional information and mug shot.</p>	50	Destroy
L4888	Fingerprint Card File (C) KRS 17.150 (2)(4)	<p>This record series documents the fingerprints of persons arrested and is compiled by the arresting officer. Copies are sent to the F.B.I. and the K.S.P. for classification and assignment of criminal history numbers. This file has been maintained for cases that were either dismissed or taken over by another law enforcement agency.</p> <p>This record series may contain the name of subject, address, booking information, arrest information, SS#, all fingerprints and mug shot. This file will also have all the information included on the Fingerprint File.</p>		Destroy 5 years after last entry.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4889	Crime Scene Photograph File (C) KRS 17.150 (2) and KRS 61.878 (h)	<p>This record series is used to document the crime scene through the use of photographs. These are taken at the sight where a felony or misdemeanor has been committed. This is usually done at the very beginning of the investigation. These photos may be included in the investigation file as well.</p> <p>This file includes the negative, photo investigation #, number of the negative, case #, date, name of photographer.</p>	10	Destroy
L4890	Latent Prints File (C) KRS 17.150 (2) (V)	<p>This record series is used to document the fingerprints found at a crime scene, the fingerprints in missing person's cases and is also used to identify persons(living or dead). Latent prints in a criminal investigation may be placed in the investigation file or maintained separately.</p> <p>This record series contains the fingerprint investigation #, photo investigation #, date, collection person, locations/date/time and the prints.</p>		Destroy 5 years after close of case.
L4891	Identification Card File (C) KRS 17.150 (2) and KRS 61.878 (h)	<p>This record series is used to document fingerprinting data and to find criminal histories. This is a finding aid and is used as a quick reference. The information for this record is taken from the arrest record.</p> <p>This record series may contain the name of suspect, current age, date of birth, department #, alias, fingerprint documentation, classification.</p>	50	Destroy
L4892	Property/Evidence Record File (V)	<p>This record series is a complete inventory of property and evidence seized during the investigation of case, whether a misdemeanor or felony. This is a system of keeping track of the property and evidence and the disposition of that property and evidence. The disposition of the property and evidence may be by destruction, auction, forfeiture or returned to the owner. Also it may become an exhibit in a court case where upon it will remain with the case file. The manual keeping of this record series is being done less and less by law enforcement agencies and is being replaced by electronic record keeping. Matter of fact bar coding is being used in the larger agencies to keep track of the property.</p> <p>This record series may contain the property record #, suspect name, address, source of property, date of entry, date of release, released by, property description and arresting officer. Also it may contain the case #, offense, case officer, badge #, booking officer, badge #, owner/victim name and address, location found, found by, and bar coding for each item.</p>		Destroy 3 years after final disposition of the property/evidence.



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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4893	Mug Photographs(Shots) File (C) KRS 17.150 (2)(4)	<p>This record series is used to document the image of those persons arrested for offenses. This is now done at the time of booking at the jail. This is done digitally and stored on electronic media. This information is maintained by the Division of Detention. This record series is maintained with the criminal history jacket in the police department. The older files may be maintained differently and may stand alone without all the fingerprint information.</p> <p>This record series may contain the name, address, alias, social security #, age, date of birth, sex, race, height, weight, gender, hair, eyes, marital status, employer, place of birth, booking information, arrest date, arrest time, location of arrest, offenses, case numbers, disposition and other information.</p>	50	Destroy
L4894	Alcoholic Beverage Control (ABC) Investigation File	<p>This record series is used to document investigations of businesses which sell alcoholic beverages. These investigations are usually started as a result of information received from outside sources. Also there are spot checks of businesses to make sure there is compliance.</p> <p>This record series may contain the date, time, location of premises, owner/manager, type of offense, dispatched or routine check, disposition of investigation(arrest, citation, warning, or other), persons arrested(name, age, sex, address), witnesses(name address, phone no.), number of any complaint filed in reference to this case, condition of premises and remarks, officer's signature and badge #.</p>		Destroy 5 years after going out of business.
L4895	Juvenile Investigation Case Files (C) KRS 610.320 (3) (V)	<p>This record series is used to document all the information collected during an investigation of a juvenile arrest. These investigations may either be for felony or misdemeanor violations. Much of the information in this file may be captured electronically. The information collected in a juvenile case is basically the same as any other investigative file and like other files may be used in court cases. These files will be destroyed when the subject becomes 18 years of age.</p> <p>This record series may contain the case number, victim name and address, location of offense, assigned investigators, date occurred, assignment log, complaint report, arrest report/citation/violation, witness information, suspect information, suspect statements, investigative notes, officer's field notes, evidence reports, lab results, photos, diagrams, search warrants, vehicle information, correspondence, fingerprints, booking information and other related documents.</p>		Destroy when subject becomes 23 years of age.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4896	Juvenile Arrest File/Juvenile Arrest Form (C) KRS 610.320 (V)	<p>This record series is used to initiate an investigation of a juvenile. It documents the juvenile involved and information concerning the crime. This is a summary of the initial investigation and is put into the case file. This information may be compiled as a paper document only but the information contained in the paper document may be input electronically and maintained in that medium.</p> <p>This record series contains the juvenile's name, alias, place of birth, sex, national origin, social security #, date of birth, residence address, father's name, father's address, father's phone, mother's name, mother's address, mother's phone, school and/or occupation, school grade, employer, address, date of custody, time of custody, location of custody, beat, KRS, is it a misdemeanor or felony, specific charges, drugs involved, type of drugs, weight/dose units of drugs, came of complainant, address, time of offense, investigating officer, employee/badge #, assignment, assisting officer, employee/badge #, assignment, a narrative section, officer making report, parents notification, time.</p>		Destroy when subject becomes 23 years of age.
L4897	Juvenile Order to take into Custody File (C) KRS 610.320 (3)	<p>Since January 1, 1988, the deputy sheriff receives these records from the court designated worker for juvenile cases. They are sent here to have the order served on the juvenile defendant. The deputy calls the court designated worker for juvenile cases only and returns the served order to her. Many of these defendants are habitual run-always. After one year any of these records which have not been served will be returned to the court designated worker.</p> <p>Juvenile Emergency Custody Order (AOC-JV-22). Order to take a juvenile into Custody (AOC-JV-32). Juvenile Complaint or Petition (AOC-JV-1).</p>	1	Destroy
L4898	Child Abuse, Adult Abuse and Domestic Abuse Case File (C) (V)	<p>This record series is used to document all domestic violence/abuse and cases of adult/child abuse, neglect, or exploitation. These include physical abuse and neglect, sexual abuse/exploitation(child), self neglect, neglect by caretaker, exploitation(adult) and sexual offenses(spouse). This investigation is initiated by completing a standard report form which is issued by the Department for Social Services. This form is to be completed in all cases of known or suspected domestic violence and abuse, adult/child abuse, neglect, or exploitation. The law enforcement agency shall immediately forward(within 48 hours) a copy of this report to the local office of the Department for Social Services. Other documentation may be in this file for the purposes of identification and investigation.</p> <p>This record series contains the Child Abuse, Adult Abuse, and Domestic Abuse Standard Report(Department for Social Services), form DSS-115(Confidential Suspected Abuse/Neglect, Dependency or Exploitation Reporting Form completed for Department for Social Services), Crimes Against Children Risk Report(in-house investigative tool), Complaint and Offense Report, fingerprints, photos, witness information, lab information, evidence information and officer's notes and field reports.</p>	50	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4899	Domestic Violence Log (V)	<p>To summarize the service (delivery) of a domestic violence summons, domestic violence order or a domestic violence emergency protective order by the law enforcement agency with jurisdiction in the locale of the petitioner. Provides reference at a glance to police department that the above named documents have been delivered, when they are effective and when they expire. Basically an administrative control document for the law enforcement agency and its communication center. Used in carrying out the requirements of KRS Chapter 403 relating to domestic violence.</p> <p>Name of respondent, type of document serviced (summons or order), when order issued, effective date, expiration date.</p>	2	Destroy
L4900	Domestic Violence Protective Orders File (V)	<p>To document the service (delivery) of a domestic violence protective order, domestic violence emergency protective order or domestic violence summons by the law enforcement agency with jurisdiction in the locale of the residence of the petitioner. KRS Chapter 403 provides the mode of relief in the cases of domestic violence. A domestic violence petition is filed with the court, a summons is then issued for appearance in court, the court makes a determination on the petition either for or against the respondent. If against the respondent a domestic violence order is issued outlining the mode of relief or in the case of an immediate or present danger an emergency protective order is issued.</p> <p>May include Domestic Violence Petition (AOC 275.1); Domestic Violence Summons (AOC 275); Domestic Violence Emergency Protective Order (AOC 275.2) and a Domestic Violence Order (AOC 275.3) all of which contain a case number, court, county, names and addresses of petitioners and respondents, description of the domestic violence, date and location of court appearance, proof service, signature line, content of order, judge's signature, date.</p>		Destroy 30 days after expiration of order.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4901	Missing Person Report (C) KRS 610.320 (3)/KRS 61.878 (1)(h) (V)	<p>This record series is used to document those persons believed to be missing. These persons are both juvenile and adult. The juvenile information is transmitted to the Kentucky Missing Child Information Center when it has been determined the juvenile is actually missing. This Center was set up by KRS 17.450 to serve as a clearinghouse for information about Kentucky children believed to be missing and children from the states believed to be missing in Kentucky. The information concerning and adult who is missing is collected through the same process and on the same report. This record series is a collection and reporting document. This report form is used mostly to identify juveniles who have either runaway from home.</p> <p>This record series contains whether the report is for a missing adult or a missing juvenile. Also included on the report are the following: name of agency, case #, date missing(or body found)( month, day, and year), time missing, date reported, name of missing person, alias, photo attached, address(or location body found), race, sex, hair color, hair length, facial hair, build, eye color, height, weight, date of birth, age, complexion, teeth, scars or birthmarks, tattoos or deformities, artificial parts(eyeglasses, dentures, prosthesis etc.), clothing last seen wearing, additional, jewelry, social security no., operators license no., fingerprint classification, date and time last seen, location last seen, probable destination, in company with, present mental state, dental records available, doctor/hospital records available, medication required, blood type, military service, vehicle involved, vehicle registration plate, next of kin, hobbies, type places/hangouts, other comments. There is a juvenile only section with Authorization for Release of Information by parent/legal guardian signed by the parent/legal guardian.</p>		Destroy after closing of the case or transfer to felony investigation file.
L4902	Taxi License Application File (C) KRS 61.878 (1a)	<p>This record series is used to document the application for a permit to drive a taxi. This is used for a background check and must be done for all applicants. Obviously, some law enforcement agencies may not maintain this.</p> <p>This record series may contain the application, photos of the subject, copy of the permit, criminal history, driving record, authority to release information, receipt of permit, occupational license receipt, medical examination certificate, and copy of operators license.</p>		Destroy 3 years after termination of employment.
L4903	Pawn Shop Ticket(Slip) File	<p>This record series is used to document those items that have been pawned at a licensed dealer. It is used as an investigative tool to track stolen property and to do investigative work concerning those persons pawning possible stolen property.</p> <p>This record series may contain the name of the business, name of person pawning the item, address, article pawned and amount of money involved along with the date and time.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Police Department  
Bureau of Investigation

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4904</b>	Report of Information (Narcotics/Vice) (C) KRS 17.150 (2) (V)	<p>This record series is used to start an investigation into possible narcotic or vice violations. The information received may be from informants, tips and other citizens reporting incidents of narcotic traffic or use and vice operations. This form is completed and the information is input into a database.</p> <p>This record series may contain the name of the officer, date, type, source, method received, information use, type of drug, vice type, drug specialty, location, vehicle used, associate type, name, address, sex, race, age, dob, ssn, phone/beeper and details.</p>		Destroy after investigation is stopped or place with appropriate case file if further investigation is warranted.
<b>L5832</b>	Crime Stoppers Informant File (C) KRS 17.150 (2) Change Date: 3/9/2006	<p>This record is used to document that an informant has given information concerning a possible crime being committed. This is done through the Crime Stoppers organization and the person is compensated if an arrest is made. This tool is used by the police to investigate crime.</p> <p>This record series may contain code no., offense, location of offense, suspect, address, ht/wt, sex/race, date, time, date occurred, vehicle, informant information and is the person willing to talk directly to police, property/narcotics recovered, officer assigned, result of investigations.</p>	4	Destroy
<b>L6259</b>	Polygraph Examination File (Pre-Employment) (C) KRS 15.400(3) Confidentiality applies only to peace officers.	<p>This record series is used to document the administration of a polygraph test to applicants for positions in the Lexington/Fayette Urban County Police Department, both officers and civilians. In addition, tests are administered to individuals seeking employment with the Fire Department and Family Services.</p> <p>This record series may contain the application, personal directory information, evaluation questions, medical statements, consents, polygraph questions and screening report.</p>	3	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6260	Polygraph Criminal Examination File	<p>This record series is used to document the procedures used in conducting a polygraph test of a person during a criminal investigation. This file is used to document information concerning the subject of the examination and reasons for the test. The information gathered and documented in this file is used to assist the Polygraph Examiner understand the case and formulate questions for the subject. This file may be used in the future for repeat offenders or in cold case investigations.</p> <p>This record series may contain personal directory information about the testee, the criminal/miranda consent form, medical assessment information, police reports, interviews, narratives and notes. A completed polygraph test report will be in this file as well.</p>	I	<p>Retain Murder Investigations Permanently. Retain Other Felony Investigations for 50 years, then destroy. Retain Misdemeanor Investigations for 5 years, then destroy.</p>

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Bureau of Traffic

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4881</b>	Traffic Serious Injury Case(Collision) File (V)	<p>This record series is used to document those accidents involving autos where there is serious injury. Usually this becomes a criminal investigation. The result of these collisions may be criminal charges or may result in a civil case being pursued by one of the parties. This file is used in conducting traffic safety surveys also.</p> <p>This record series may contain a copy of the accident report/collision report, witness statements, field investigative notes, audio/video material, photos and drawings.</p>		Destroy 5 years after close of the case file.
<b>L4882</b>	Traffic Fatality Case File (V)	<p>This record series is used to document those traffic accidents resulting in a death. This file is maintained because of possible criminal charges being brought against those involved and also the possibility of a civil law suit. This file in particular is used in traffic research and resulting trends.</p> <p>This record may contain the Uniform Police Accident Report, witness statements, field investigative notes, audio/video material, photographs and drawings.</p>		Destroy 10 years after close of case file.
<b>L4883</b>	Traffic Property Damage Hit and Run File (V)	<p>This record series is used to document those traffic accidents that are hit and run where there is property damage. This is used for criminal investigation and provides support for legal proceedings(civil and criminal). It is also used in the year end statistics which in turn justifies activities.</p> <p>This record series may contain the Uniform Police Accident Report, witness information, copy of citation, photos, supplement to accident report and resolution of the case.</p>	3	Destroy
<b>L4884</b>	Citizen Complaint File - Traffic	<p>This record series is used to document complaints to police by citizens to request action be taken about a traffic hazard. Essentially this is a request for extra assistance and may result in extra patrols.</p> <p>This record series may contain a copy of the complaint, response to citizens , officers activity relating to it, citizen comments, and extra patrol form. Pertinent information concerning the location, reason/problem, complainant name, formal, informal, officer assigned, due date, enforcement results, date/time and officer's comments.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Fiscal Office

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L4844</b>	Overtime Reports	<p>This record series is used to document the amount of money each unit paid in overtime for each pay period. This is a reference tool for the Chief to track the amount spent on overtime and make sure the amount used is not excessive.</p> <p>This record series contains fiscal year, pay period, date, account#, vendor, description, amount, current balance.</p>	1	Destroy
<b>L4845</b>	Purchase Order (duplicate)	<p>This record series is used to document purchases requested by the police department. This goes through the Division of Accounting where the original is part of the accounts payable file. This copy is used as a reference and to make sure the purchase is received.</p> <p>This record series contains the copies of the purchase order, invoices and receiving information.</p>	2	Destroy after audit.
<b>L4846</b>	Asset Forfeitures Monthly Report File	<p>This record series is used to document cash which has been confiscated by the law enforcement agency as a result of arrest process. This is usually as a result of arrests that have been made for violations of the drug laws. In some instances the federal authorities are involved. The local agency will get half of the cash from federal cases and all from local agency arrests. This information is shared with the Kentucky Crime Commission. The Commonwealth Attorney's office shares in the cash if it is a state arrest. Most of the time this is cash but there are auctions of property seized and this money is handled in the same way.</p> <p>This record series may contain the order of forfeiture, court order record, order of confiscation, cover letter to Kentucky Crime Commission, federal equitable share, receipt for case, and copies of checks.</p>	5	Destroy after audit.
<b>L4847</b>	Travel Requests	<p>This record series is use to request travel for professional purposes which may include professional training, work related travel or attend professional meetings. This record series is in the form of a request/voucher and is used not only to give permission but is used as a voucher to pay for the travel.</p> <p>This record series may contain the name of person requesting travel, destination, purpose, leave date/time, return date/time, and cost.</p>	2	Destroy after audit.



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Planning and Analysis

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4835</b>	Officer's Field Interview Notes (C) KRS 61.878 (a)(k), KRS 610.320, KRS 610.340	<p>These record series is used to document the contact an officer has with a suspect on the streets. This contact is initiated by the officer either through observance or phone call. These notes may not be mandatory to keep but may be useful for the completion of the officer's daily activity report. Also this record series is used by the officer as a protection against untrue allegations issued by the suspect.</p> <p>This record series may contain the name of suspect, alias, address, race, sex, DOB, ssn, height, weight, hair, eyes, operator's license #, state, location of encounter, date, time, clothing description, vehicle, year, make, mode., color, license no., state, whether the driver, passenger or a pedestrian, reason for encounter, remarks, any associates, name of officer, employee no./badge no., assignment, platoon, list of suspects features.</p>	2	Destroy
<b>L4836</b>	Juvenile Curfew Report (C) KRS 610.320 (3)	<p>This record series is used to document curfew violations by juveniles. All local agencies do not have a curfew ordinance and for those which have them they may vary. Usually there is a first warning for the juvenile. He/she are written up and their parents/guardians are notified. If there is a second occurrence there is a possibility of a fine. This document is used to track those violations and to respond to subsequent violations. In some instances this may be placed in an investigative file if the subject is under investigation for other violations.</p> <p>This record series may contain how the contact is initiated, prior violations, beat where contact made, case #, date and time of contact, name of juvenile, address, phone, alias, social security #, race, sex age, date of birth, vehicle description, license #, state, exact location(street address of contact), other charges placed, drugs/alcohol detected, weapon involved, school attending-grade, gang affiliation, parent cited, parent name, address, phone, juvenile taken to:, was the juvenile directed to return home by officer and if so at what time and whether he was in company of others, adult taking custody, address, relationship to juvenile, social security #, date of birth of custodian, list of names and ages of any person with the juvenile at time of contact, were any associates arrested, additional narrative, officer making report, employee/badge #, assignment, date and time of report, supervisor approving and reviewing report and if a letter was sent to the parents.</p>		Destroy when subject becomes 18 years of age.

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Public Safety  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4837	Weekly Juvenile Curfew Record (C) KRS 610.320 (3)	<p>This record is used to document and compile curfew violations submitted by officers. The parents are sent a letter informing them of the first violation. This is done weekly.</p> <p>This record series contains the date, time, beat, case #, location of offense, Address, name of violator, address, sex, race, date of birth, age, officer, checklist whether parent cited, drugs involved, other charges, prior violations and associates. Also it contains whether a vehicle was involved, circumstances, wk#, month and year.</p>	2 weeks	Destroy
L4838	Monthly Traffic Analysis Report	<p>This record series is compiled from collision reports, complaint and offense reports and other records for each month. This series is used as an information tool for the agency to track all accident reports(when, where, and how) and helps to reduce accidents through the use of extra patrols and surveillance in problem areas. In some instances annual report is done and the information contained in the monthly report is used. This data can be electronic or paper.</p> <p>This record series may contain graphs, charts, and drawings along with statistics concerning number of traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, TOP COPS, selective enforcement unit target locations, traffic activity and roadway/vehicle/pedestrian information.</p>	2	Destroy
L4839	Annual Traffic Analysis Report	<p>This record series is used to compile statistical information concerning traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrests, target locations, traffic activity and roadway/vehicle/pedestrians. This information is taken from the monthly reports and is usually electronically produced. All law enforcement agencies may not produce this but many do. The information and statistics that are contained in this report may also be found with KSP but not in this form. In some of these reports graphs, charts and drawings are used.</p> <p>This record series may contain the yearly statistical compilation of traffic violations, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, traffic activity, any target locations and roadway/vehicle/pedestrian information.</p>		Maintain 1 copy permanently, destroy all others.
L4840	Daily Recap of Reported Crime	<p>This record series is used to document what crimes have been committed in the last 24 hour period. It is used by the commanders to brief their personnel on a daily basis. This is not useful after 3 or 4 days.</p> <p>This record series contains the date, day, beat, type of offence, location/victim, number, address, time, information about the crime, and if there are any suspects.</p>	2 months	Destroy

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Police Department  
Planning and Analysis

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4841	Reported Part I Crime Comparisons	<p>This record series is used to compare Part I crimes with other like cities. The statistics from the FBI Uniform Crime Report are used in this report.</p> <p>This record series contains the names of cities and Lexington, population of each, sworn officers, ratio of officers to pop., murder and non-neglect manslaughter, rape, robbery, agg. Assault, burglary, larceny, auto theft, arson, and totals.</p>		Destroy when no longer useful.
L4842	Annual Report for Accreditation	<p>This record series is used to report to the Commission of Accreditation for Law Enforcement (CALEA) the information needed to comply with their standards. This is done annually and is compiled from the monthly activity reports which are provided by each Bureau.</p> <p>This record series contains summary and overview sheet, year covered, activity category, % of increase or decrease over the previous year, totals for the year, totals of last year, personnel information, actual part 1 crimes, total fatalities, total citations issued.</p>	P	Retain 1 copy permanently. Destroy excess copies when updated.
L4843	Annual Summary of Arrest Activities	<p>This record series is used to compile statistics for comparison with the previous 10 years. It is used as a planning tool and delivered to the Chief once a year. This is a statistical record of all arrests made during the year.</p> <p>This record series contains the activity areas (total division arrests, dui arrests, drug arrests, juvenile arrests, MHVs issued) and a ten year period for these. Contains a distribution list.</p>	1	Destroy
L5253	Warning Notice	<p>This record series documents the actions of agency personnel during a motorist stop for any reason. It also provides information concerning the demographics of the population of "motorist stopped" to be collected. The data from this form is computerized and available to officers on patrol (computer access) so that prior warnings for same offense can be considered.</p> <p>This record series contains the name of motorist, address, Idnumber, date of birth, sex, race, vehicle make, model, year, reg. state, color, registration no., date, time, sector/beat, exact location of stop, statute/ordinance, offense description, courtesy stop, vehicle investigation, details, case no. signature of officer, employee no..</p>	1	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5254	Search Record (C) KRS 17.150	<p>This record is created in the event of a search with or without a warrant. It is used by sworn personnel to document the search. The information is also used to compile stats, to enhance training of officers, and to document officer personnel performances. The case files would provide further information.</p> <p>This record contains the name of searcher, address, date of birth, age, sex, race, vehicle make, model, registration no. exact location of search, search of person, vehicle, building, property, whether there is consent, evidence/contraband located, arrest made, citation issued, details, case no., supervisor signature, officer signature, employee no.</p>	1	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Training Academy

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4867</b>	Training Record File (C) KRS 61.878 (a) Change Date: 3/15/2007	<p>This record series is used to document the training received by law enforcement officers that is required by statute. There is a 32 week period of basic training followed by 12 weeks of field training. After that period the officer becomes a part of the patrol section and is assigned to a field position and is on probation for one year. After probation the officer is released by the training section and must follow up with 40 hours of in-service training and must accumulate 400 hours. A record of training is maintained by the Criminal Justice Training Center at Eastern Kentucky University. Also a record of completed training is maintained in the officer's personnel folder. This file is used to document the field training officers evaluations and will have any disciplinary actions taken along with all final grades.</p> <p>This record series contains the name of officer, date/time of training, type of training, hours completed, grade achieved, completion date, evaluations, disciplinary actions and correspondence.</p>		Destroy 5 years after termination of employment.
<b>L4868</b>	Testing/Training (In-Service) (C) KRS 61.878 (a)	<p>This record series is used to document the training process, the training needed, description of training along with where and when the training will take place. All persons completing the one year probation period and becoming a full time employee must complete 40 hours of inservice training. Testing is a part of that training. This file documents that training and has the tests and test results (which is sent to ECU Criminal Justice Training.</p> <p>This record series may contain descriptions of training, place and time of training and requirements for training.</p>		Destroy when no longer needed.
<b>L5867</b>	Training Records - Early Withdrawals (C) KRS 61.878 (a)	<p>This record series is used to document training received by recruits who have been accepted by the Police Training Academy but do not complete the 32 week training program. By withdrawing they forfeit all training completed although it may be used by them if they enter another police training program. If they re-enter the Lexington/Fayette Police Training Academy they will have to start over from the beginning.</p> <p>This record series may contain the name of the recruit, test scores, tests, disciplinary action, grades, field training officer evaluations, emergency information sheet and work completed.</p>		Destroy 5 years after leaving the Training Academy

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Police Department  
Training Academy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5868	Informational and Test Records File	<p>This record series is used to maintain the tests given to the recruits during their basic academy training. The recruits also go through a review of each test and this is kept as well. All final grades at the end of their basic academy training are sent to the Department of Criminal Justice Training in Richmond, KY. to verify training. There is an 18 month probation from the start of their basic training academy. Once this is completed these tests are no longer used. A graduate certificate is kept in the official personnel file. The individual grade for each test is posted in the file.</p> <p>Upon graduation from the academy each officer is required to attend a 40 hour In-Service training which is required through the Kentucky Law Enforcement Council. Upon completion of the 40 hour course each officer is required to take a written examination. Each test is graded and reviewed during the class and the grades are submitted to the Department of Criminal Justice Training and also are kept in their personnel folder.</p> <p>This file may contain the test scores of each recruit officer during their basic training academy. These tests are for spelling, code tests, weekly examinations, final examinations, memos, notes, remedial tests, and written request made by the recruit.</p>		<p>Record the grade for each test in the file. Destroy individual tests when the grades are recorded. Destroy the remainder after Completing Probation or 1 year after leaving the Academy (Without Graduating)</p>

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Safety  
 Police Department  
 Bureau of Internal Affairs

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4905</b>	Complaints/Internal Investigation File (C) 17.150 (2) Change Date: 12/13/2001 (V)	<p>This record series is used to document investigations which have been substantiated and a complaint has been issued. This internal investigation has proceeded against officers where formal complaints have been made. No member of a police department shall be removed or reduced in grade upon any reason except inefficiency, misconduct, insubordination or violation of law, or violation of the rules adopted for the law enforcement agency. All charges must be in writing and must clearly set out the charges made and the trial shall be confined to matters related to the issue presented.</p> <p>This record series may contain name of officer, employee no. date of birth, date of employment, present assignment, complainant, address, telephone no., employed by, business address, telephone #, date of incident, time of incident, location of incident, date and time reported, how reported, brief description of allegations, sworn statement, witnesses, address, phone, recommendations of supervisors and final disposition. Also contained in this file is an agreement of conformity with KRS statutes.</p>		Destroy 3 years after termination of employment.
<b>L4906</b>	Informal Complaints/Internal Investigation File (C) KRS 17.150 (2) (V)	<p>This record series is used to document internal affairs investigations which have not been substantiated. These complaints are handle internally in the agency as opposed to those where a formal complaint has been made. These investigations result in an administrative decision to close an investigation.</p> <p>This record series may contain correspondence dealing with the complaint, the informal complaint which contains the name of the complainant, accused officers, allegation, alleged circumstances, divisional facts, action requested and completed investigation form.</p>		Destroy 2 years after close of investigation.

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Public Safety  
Police Department  
Bureau of Internal Affairs

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L4907</b>	Use of Force Form/File (C) 61.878 (h)	<p>This record series is used to document those incidents where use of force by an officer has occurred. This is completed by the officer and signed by the supervisor and sent to the chief and to the training section. This file is maintained for the purpose of documenting those incidents in case there are complaints filed by the persons involved.</p> <p>This record series may contain the name of the officer, day/date/time force used, assignment/beat, location of incident, case number, type of incident, assisting/witness officer, suspect information - name, address, DOB, social security #, sex, race, charges placed against suspect, suspects condition when first observed, whether treatment was necessary, hospital/physician, nature of injuries. An officer section - type of resistance, control techniques and description of events. Supervisor section - name of supervisor, assignment, date and time completed, evidence collected, photos/video, id officer, officers signature, supervisors signature and commander signature. Statements by the suspect, witnesses and supervisor,</p>	5	Destroy
<b>L4908</b>	Vehicle Pursuit Form/File (C) 61.878 (h)	<p>This record series is used to document incidents where there has been pursuit of another vehicle by a law enforcement officer. This is required incase there is personal injury or property damage done as a result of this pursuit. This is completed by the pursuit officer and reviewed by their supervisor.</p> <p>This record series may contain the name of the officer, assignment/beat, day/date, start/end times, location of incident/pursuit, case number, reason for pursuit, assisting/witness officer, employee #, accident involved(yes or no), personal injury, property damage, near accident involve.(yes or no), police vehicle involved, suspect vehicle involved, injuries sustained(officer, suspect, passenger), suspect name, address, DOB, ssn, race, charges, arrest time, suspects condition(unimpaired, alcohol impaired, drugs suspected), emotionally disturbed, a narrative of the description of events, evidence collected, photos taken, id video taken, officer's signature, date/time completed, assigned supervisor's signature, bureau commander's signature, witness information, supervisor comments.</p>	5	Destroy



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Police Department  
Common Records

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4910	Officer's Daily Activity Report	<p>This record series is used to document the activities of an individual officer and is reported to that officer's supervisor. This information is collected and some of it becomes a part of the monthly and annual reports. Used as a reference when trying to determine what exactly happened on a certain date by an officer. This could be for internal affairs, liability issues or personnel/payroll purposes.</p> <p>This record series contains the date, day, officer, shift, weather, hrs worked, to hours, vacation hrs, other, car #, mileage, time, location, activity, deposition, citation #, case #, offense.</p>	1	Destroy
L4911	Monthly Activity Reports	<p>This record series is used to document activity within each bureau, unit or section of the law enforcement agency. This is compiled from the daily activity reports and is a statistical report and is subsequently used in the preparation of the annual report. The information is used to formulate new strategies for the agency such as how to use their personnel in a more efficient way. The reports are also used to monitor progress toward goals and objectives and to monitor and instruct individual officer's activities.</p> <p>This series contains the number of felony and misdemeanor arrests, active investigations, traffic citations issued, standing violations issued, warrants served, juvenile arrests, drug arrests, dui arrests, arrests where firearm encountered, firearms booked as evidence, total dispatches, 911 calls, off-duty responses, part I crimes assigned, part I crimes cleared, overall clearance rate, assets awarded by court, use of force reports, formal and informal complaints, community service programs, number of employees(by classification) by month, actual part I crimes, total fatalities, total of all citations issued.</p>	2	Destroy
L4912	Fiscal Request	<p>This record series is used by all Bureaus to request a purchase order, price contract voucher, budget amendment, overtime reimbursement, overtime adjustment, travel advance, deposit, petty cash or other reimbursement and physical exam reimbursement. Sent to the fiscal office.</p> <p>This record series contains the date of issue, effective date, number, to, from, subject, division #, sub-account #, unit #, amount, type of fiscal request, vendor and address, item description, quantity, unit price, total and approved by.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Safety  
Police Department  
Common Records

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L4913	Orders	<p>These are the duplicates of the orders issued by the Chief. These are found throughout the department and are no longer needed when superseded.</p> <p>This record series contains the same as the orders in the Chief's office.</p>		Destroy when superseded or rescinded.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Works  
 Engineering

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5393</b>	Cooperative Floodproofing Program File (V)	<p>This record series is used to document the program to provide technical and financial assistance to homeowners who want to stop surface waters from entering their home. Over 340 homes have been improved through this program. The Division of Engineering will do a free inspection to see if there is a flooding problem and if the remedies qualify for assistance.</p> <p>This record series may contain the property location, owner information, inspections, list of problems, final payment, agreement with landowner and correspondence.</p>	5	Destroy after audit
<b>L5394</b>	Pavement Management Annual Report	<p>This record series is used to document the condition of existing paved streets and roads. This is completed for all streets over a 3 year period(one third of the streets are surveyed each year) to assist Public Works in repairing streets. All the streets are surveyed in the 4th year. This is used as a priority list in addressing repavement problems.</p> <p>This record series may contain survey, list of streets by year, and repairs needed.</p>	5	Destroy
<b>L5395</b>	Street Cut Permits	<p>This record series documents application and deposit by a plumber to cut the street to repair and/or tie on to city sewer and/or water. The plumber is required to repair the street where damaged. A public works employee is required to inspect the work prior to the deposit being returned. This permit is required for any work in the public rights of way. A plan or sketch must be submitted.</p> <p>Date, plumber or company name, property owner name, location of property, explanation of project, deposit notation and sketch or drawing.</p>		Destroy when no longer useful
<b>L5396</b>	Sump Pump Disconnection Permit File	<p>This record series is used to document where storm water is placed into the sanitary sewer system by way of sump pumps and downspouts. The additional water overloads the sanitary sewer lines and causes overflows as well as backups into homes. This program is designed to locate and relocate these problem generators of inflow. The program is voluntary. If the relocation is authorized, they work with local plumbers to redirect the flow and inspect the work to assure proper construction.</p> <p>This record series may contain the name, address, construction PO, completed inspection and correspondence.</p>	P	Retain

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Public Works  
Engineering

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5397	Sanitary Sewer Tap On Permit File (V)	<p>This record series is used to document that the initial connection to the sanitary sewer has been applied for and a permit given. The initial property owner pays this fee for the permit and the connection is inspected by the Division of Engineering. This file provides documentation that all rules were followed in the connection process. This stays with the property.</p> <p>This record series may contain the application for permit, inspection, amount paid, name of property owner, address and correspondence.</p>	P	Retain
L5398	Construction Project Files (V)	<p>This record series is used to document the evolution and development of new construction of roads, streets, parking garages and other government buildings and facilities except sanitary sewers. These files document not only construction funded solely by the merged government but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The engineering division, the maintenance and operations departments of the agency and the local developers use these files.</p> <p>Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids &amp; estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.</p>	P	Retain
L5399	Improvement Construction Plans (V)	<p>This record series is used to document roadway construction, community development, storm sewers, and other construction that is done to improve the function of certain facilities. These are the plans for the improvement.</p> <p>This record series may contain the name of project, specifications, cost, time to completion and correspondence.</p>	P	Retain
L5400	Flood Plain Permit File	<p>This record series documents the requirements of KRS 151 which allow the Division of Water to approve any construction or other activity in or along a stream that could in any way obstruct flood flows. Conditions are checked and must be met before a Certificate of Elevation is issued ; then a building permit and later a Certificate of Occupancy are issued. FEMA audits every 2 years.</p> <p>Owner name, address, telephone #, agent name, address, telephone #, engineer name, number, description of construction, location of construction, estimated begin construction date, estimated end construction date, public notice notations, city and/or county official contact names, list of attachments, certification, remarks, signature, date</p>	P	Retain

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works  
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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5401	Storm Water Permit File (V)	<p>This record series documents the requirements of federal law 40 CFR Part 122 which prohibits point source discharges of stormwater associated with industrial activity to a water body(ies) of the Commonwealth of Kentucky without a permit. This program was established by the Environmental Protection Agency in 1992, to create less erosion and cleaner streams in Kentucky. An applicant that expects construction activity to remove 5 or more acres of ground cover is required to obtain a permit to do so. The applicant is required to submit the Notice of Intent form prior to construction, then prepare an Erosion Control Plan, and finally, when construction is complete and vegetative ground cover is established, a Notice of Termination. The situation is monitored throughout the construction process.</p> <p>Notice of Intent, Erosion Control Plan, Notice of Termination, and supporting documents</p>	P	Retain

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Public Works  
 Sanitary Sewers

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5402</b>	Pretreatment Files	<p>This record series is used to document provisions of the Clean Water Act which mandates pretreatment of certain discharges into a publicly owned treatment works. Certain pollutants must be pretreated before entering the system. Examples of this is mercury. The pretreatment is done to prevent these pollutants from passing through the system into the receiving waters.</p> <p>This record series may contain the lab results, general correspondence, self monitoring results, permit applications, permits, notice of violations, compliance schedules, compliance schedule updates and other information.</p>	5	Destroy
<b>L5403</b>	Grease Trap Program File	<p>This record series is used to document those facilities that qualify to have grease traps installed under the Grease and Oil Ordinance section 16-43, 16-44, 16-50. Sanitary Sewers Division maintains these records to ensure that there is compliance and no damage is done to the sewer system. The Division of Engineering has the responsibility of issuing a permit. This program has been in place since 2000. Grease traps have to be pumped out at least twice a year. Inspections are made periodically by the Division of Sanitary Sewers.</p> <p>This record series may contain applications, permits, general correspondence, installation information, inspection information and maintenance information.</p>	5	Destroy
<b>L5405</b>	Sewer User Exemptions File	<p>This record series is used to document requests for exemption from discharging procedures. This is usually requested by users who are going to discharge water from large cooling systems. This triggers a billing from the Division of Revenue.</p> <p>This record may contain an application, name, address, description of building, exact info about the discharge, and discharge permit information.</p>	5	Destroy

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Public Works  
Sanitary Sewers

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5406	Discharge Permit - Unusual Requests	<p>This record series is used to document the application for special permit to discharge unusually large amounts into the sewer system. These are one time occurrences by users and this must be done in order to monitor the discharge. It is up to the user to apply for this permit when there is to be a discharge that is larger than normal. If the user does anything outside of permitted normal discharge this application must be submitted. It is sent to the Division of Revenue for the start of the billing process.</p> <p>This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info.</p>	10	Destroy
L5810	Permit File (Kentucky Pollutant Discharge Elimination System (KPDES)(NPDES)	<p>This record series is used to document the application for National Pollutant Discharge Elimination System permits to discharges into the sewer system. Under the Clean Water Act, the NPDES program regulates discharges to waters of the United States from point sources such as municipal sewage treatment plants and industrial facilities. States may seek authorization to operate the NPDES program, and, today, 45 states and the U.S. Virgin Islands have this authorization. EPA is the permitting authority in unauthorized states, territories and Indian country. This series sets discharge limits on pollutants discharged from wastewater treatments plants. The local agency's engineer or affiliated utilities company completes application for the permit, drawing on wastewater treatment plant discharge monitoring reports. The application is sent to Natural Resources who reviews the application and sets appropriate discharge limits for a given time period. The permit is issued for those limits and that time period. Permit cannot exceed five years.</p> <p>This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info. Permit itself contains: name and address of local agency; name and address of wastewater treatment facility; name of receiving waters; dates of validity of permit; date of permit; appropriate signatures. Permit file will also include supporting documentation noting discharge limitations, monitoring requirements, a schedule of compliance, and any special requirements.</p>	5	Destroy
L5407	Construction Project Files - These are used as a working file.	<p>This record series is used to document any construction or upgrades to facilities. These records are maintained for a period of time to make sure that all specifications are met and for use if there are problems during and after the construction is completed. All plans, specifications and documentation is maintained permanently in General Services and all the official bidding info is in the Division of Purchasing. These records are kept for reference only.</p> <p>This record series may contain contract documents, bids, specifications, general correspondence, permits, testing, pay estimates, purchase orders, change orders, shop drawings, and close out documents.</p>	7	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works  
Sanitary Sewers

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5408	Rain Gauge Data File	<p>This record series is used to document the amount of rainfall as reported through the use of rain gauges that are placed in certain places in the government area. These gauges are placed upon request. This data is used in the prediction of overflows. This is collected daily</p> <p>This record series may contain the date, time, area placed, and amount of rainfall.</p>	5	Destroy
L5409	Daily Reports Change Date: 3/10/2005	<p>This record series is used to document the all daily reports issued by the treatment stations. These include operation of each pump station throughout the government area. By doing this daily report the pump stations are monitored to ensure they are operating normally without incident. This, in part is a preventive measure to make sure that overflows are avoided and that there are no unauthorized spills. These reports include operator's check out report, daily operational report for plants (pumps, gauges etc), daily maintenance reports, daily lab reports, daily flow readings, daily mechanical check out sheets for pump stations, pump station overflow/bypass reports which documents over flows at any of the pump stations(70 at the moment) throughout the government area. All the pump stations are automated in the pumping of sewage. A telemetry system is in place at all pump stations which sends flow/performance data and alarm situations to the central office. All major stations are checked and maintained on a daily or twice per day frequency. These reports are sent to the Division of Water and Division of Wildlife in case of overflows. Many of these reports are made a part of the Wastewater Treatment Plant Discharge Monitoring Report(DMR) that is sent to the Division of Water and the EPA.</p> <p>This record series may contain start time and date , name of pump station, name of treatment station, name of person submitting the report, statistical information, and readings.</p>	3	Destroy
L5413	Monthly Reports Change Date: 3/10/2005	<p>This record series is used to document each major monthly report submitted by the treatment plants including discharge monitoring report (DMR) which documents the quality of the discharge and flow, biochemical oxygen demand, suspended solids, ph, sludge production, bacteriological quality, expenses for treatment, loading rates, facility sizes, and per cent reduction of contaminant of wastewater. DMR's reports are sent to Division of Water in Frankfort, Ky.who inturn sends it to EPA. Others are lab reports, solids process monthly recap, solids balance report, sludge hauling report and sewer line maintenance overflow reports. These are used to monitor the treatment plants and to use for reporting purposes to the Kentucky Division of Water and the EPA.</p> <p>This record series may contain all monthly reports generated by the treatment plants. This would include statistical data, narrative, names of contractors, date of report, person submitting the report, analysis results, and other data.</p>	5	Destroy



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works  
Sanitary Sewers

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5410	Flow Charts - Pump Stations	<p>This record series is used to document the amount of flow at each of the pump stations. This gives a picture over time about the amount of discharge and at what time. There is a chart recorder at each pump station. This shows if there is an overflow or by pass.</p> <p>This record may contain the date, time, flow information.</p>	5	Destroy
L5412	Tier II Hazardous Chemical Annual Report	<p>This record series is used to document chemicals used or stored during the previous year. The amounts that trigger Tier II reporting are based on the maximum amount of the substance present at the site at any time. This is a requirement by the Emergency Planning and Community Right to Know Act. These chemicals may have an immediate health hazard, delayed health hazard, fire hazard or reactive hazard. This report is sent to the Environmental Protection Agency, state authorities and the local fire department.</p> <p>This record series may contain the chemical name, location, amount present, waste treatment/disposal methods, and hazards.</p>	5	Destroy
L5414	Flow Reports of Incoming Sewage - Special Users	<p>This record series is used to document the flow for special users. This a report of the operations of five pump stations where information is sent to the Div. of Revenue so that private companies can be billed. This flow from these special users is more than normally released. The five private enterprises are: Blackburn Correctional, Keeneland, Horse Park, Spindletop and FMC.</p> <p>This record series may contain the name of the user, pump station, date, time and amounts.</p>	3	Destroy
L5415	Calibration/Inspection Report	<p>This record series is used to document that periodic calibrations/inspections are completed for meters , fire extinguishers, leak detection equipment, and crane and hoist systems. This is done as part of the preventive maintenance program and to ensure the accuracy and safety of the equipment.</p> <p>This record series may contain the item# inspected or calibrated, date, time, certification by inspector and any adjustments made.</p>	3	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works  
Sanitary Sewers

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5434	Operation and Maintenance Manuals for Wastewater Plant(s) (V)	<p>This record series is used by the operation and maintenance personnel for the wastewater treatment plants. It gives suggestions and recommendations for most efficient operation, management and maintenance of the facility. The appendix to this manual contains plans/drawings showing the location and configuration of lines, fittings and processes. Pages are added or deleted periodically to revise and update this manual.</p> <p>Discharge Permits, plans/drawings showing the locations, configurations of the lines, fittings and processes; bench sheets, records of laboratory analysis; operators daily log, construction records, tables of operation, forms, purchase order forms and agency report forms.</p>	P	Retain

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SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works  
Solid Waste

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5416	Solid Waste Trip Summary	<p>This record series is used to document the daily collections completed by a particular vehicle. Data is compiled in onboard computer for the purpose of verifying pickups and for managing the routes of the vehicle.</p> <p>This record series may contain the name of driver, fleet address, driver ID, trip number, trip begin date, trip end date, time totals, trip statistics, events, engine on time, time in motion, container stats, stop stas, containers per hour, arrival, departure, weight, return time, any time the route is left, total amount collected, miles gone and other stats.</p>	1	Destroy
L5417	Weight Sheets (Tonnage)	<p>This record series is used to document the weight of the collection when taken to the landfill. This amount is recorded and used to know how much is collected. The collection is taken to a landfill that is operated by a private vendor. The weight is used in the billing process.</p> <p>This record series may contain the truck #, date, time, driver, weight.</p>	2	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Public Works

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6301	Urban Service Area Changes	<p>This record series is used to documents that property owners have been notified of changes in the Urban Service Area. This is required by KRS 67A.860. This statute states that each property owner shall be notified by certified mail, of the urban-county government intention to extend urban services which may result in a tax increase to the property owner.</p> <p>This record may contain mailing lists, certified mail receipts, unclaimed notices, petitions of service, voting cards, voting results and address lists for service changes.</p>	7	Destroy

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**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Social Services  
 Adult Services

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5375</b>	Social Worker Client File (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document those adults and their families who have the potential of becoming victims of abuse, neglect or exploitation. Services may include information and referral, home visits, transportation, advocacy, assistance in making application for a variety of social programs.</p> <p>This record series may contain, client's name, address, telephone, social security #, application, social worker's notes, visitation information, some medical information, social assessments/case plans, financial/legal section, income information and documentation of referrals.</p>	5	Destroy
<b>L5376</b>	Emergency Financial Assistance File (C) KRS 61.878(1) (a) (V)	<p>This record series is used to document short term financial assistance for the payment of rent and/or utilities to prevent eviction or utility cut-off. The person may apply for an interest-free loan and must sign an agreement for repayment in small monthly payments. Other services provided are assessment of needs, short-term counseling and referrals to other agencies. The person applying must have lived in Fayette County 30 days, have a temporary complete disruption of income, have utilized all personal resources and there must be a verifiable pending income. Persons can apply every two years.</p> <p>This record series may contain a contract, agreement, discharge summary, medical statement from doctor, employment statement, medical record, lease agreements, utility bill, directory information, case notes and demographic information.</p>	3	Destroy after audit
<b>L5377</b>	Relocation Financial Assistance Grant File (C) KRS 61.878 (1)(a) (V)	<p>This record series is used to document persons or families who apply for financial assistance to relocate because of code enforcement has issued a condemnation order. This is a one time grant for those who are at or below 125% of the current poverty level.</p> <p>This record series may contain the pay check stub, field inspection form, certificate of service (notice that they must move), proof of income statement, financial statement and directory &amp; demographic information.</p>	3	Destroy after audit

# **LOCAL AGENCY RECORDS RETENTION SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Adult Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5378	Burial and Cremation Financial Assistance File	<p>This record series is used to document those persons applying for financial assistance for burials or cremations whose family is unable to provide for the burial. A financial assessment is made to see if the persons can pay or not. This is a grant.</p> <p>This record series may contain invoices, applications, directory information, income statements and Lexington cemetery information.</p>	3	Destroy after audit
L5379	Sidewalk Replacement Financial Assistance Grant File	<p>This record series is used to document payment for defective sidewalk panels identified by Lexington/Fayette County Government for qualified homeowners. To qualify for financial assistance persons or families must have incomes at or below 125% of the current poverty level. This is a one time grant.</p> <p>This record series may contain the directory information on the individual/family, check stub, invoice, application, date, and notes.</p>	3	Destroy after audit
L5380	Sewer Assistance Program File (V)	<p>this record series is used to document assistance given to homeowners to connect to the sewer. Revenue bonds are issued for this purpose of connection of the sewer. Also the homeowner may also receive a loan for the annual sewer assessment fee if they qualify. The bond is paid off when the residence is sold. This material is found no where else.</p> <p>This record series may contain copies of the mortgage, loan agreement, financial assistance given, copies of tax returns, job verification, land contract and directory information on resident.</p>	P	Retain

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Social Services  
 Family Services

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5381</b>	Client Medical Files(Minors) (C) KRS 61.878(1)(a); 45 CFR Parts 160 & 164 (V)	<p>This record series is used to document those under the age of eighteen who are applying for assistance through Medicaid and the Kentucky Children Health Insurance Program (KCHIP). This is driven by income of the families. This covers children in families whose incomes are above 150% Federal Poverty Level and up to and including 200%FPL.</p> <p>This record series may contain the name of client, directory information, application, health history, HIPAA instructions, authorization to release information, immunizations, encounter form, triage call record, medical information, date of HIPAA permission, x-rays, lab info and correspondence.</p>		Destroy 6 years after client reaches 18 years of age.
<b>L6294</b>	Patient Encounter Form	<p>This record series is used to document and verify that those using the medical and dental services provided by Family Services have been billed. This is a fiscal record and is an accounts payable.</p> <p>This record series may contain patient name, address, age, diagnosis, doctors name, services provided, insurer and appointment time.</p>	3	Destroy after audit
<b>L5382</b>	Home Network File (HANDS Program) (C) KRS 61.878(1)(a); 45 CFR Parts 160 & 164	<p>This record series is used to document a voluntary intensive home visitation program designed to assist parents at critical development points during a child's first years of life. A trained home visitor will introduce parenting skills that enhance parent/child relationships. This is the Health Access Nurturing Developing Services (HANDS) provided/licensed by the KY Department for Public Health. HANDS target first time parents, from the prenatal period to approximately three months after delivery. The family may be a part of the program until the child reaches two years of age.</p> <p>This record series may contain photos, monthly service log, family goal sheets, well baby visit log, case narrative, home screening questionnaire, everyday stress index, child proofing checklist, ages &amp; stages questionnaire(8 mons., 10 mons, 14 mons), CAP(Child Abuse Potential) assessment, release of claim and HANDS visit log.</p>	24	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Family Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5383	Lunch Menu and Production Record(Sheet)	<p>This record is used for planning meals each day and to document statistics on meals served, both for food groups and numbers served. This report is audited by the Department of Education's Division of School Food Service for compliance with regulations for school meals.</p> <p>Date meal served, offer vs. serve (yes/no). For each menu components (milk, meat/meat alternate, vegetables/fruit, bread/bread alternate, other): foods used, USDA foods, planned 3 portions/size portions GR III and GR IV, amount prepared, extra sales, amount left over and comments. Reimbursable Meals Served: Non-reimbursable Meals served and extra sales: extra milk, extra sales menu items, extra sales non-menu items, adult/misc. meals, total ala carte.</p>	1	Destroy after audit
L5384	Monthly Product Inventory	<p>This record series is used to document the amount of food product on hand at the end of every month. The lunch program is funded by the School Lunch Program. This series is used in the ordering process and to compare with other months over time.</p> <p>This record series may contain the dollar value of previous months ending inventory, name/authority or agency, storeroom location, item description, total units, cost per unit, total cost, beginning inventory, purchased food and milk received. Value of food available, ending inventory, adjustments to inventory, and dollar value of food used.</p>	3	Destroy after audit
L5385	Child Care Record File (C) KRS 61.878(1)(a)	<p>This record series is used to document the attendance of infants up to 5 years of age in the child care program. Child care is provided to the children of mothers who are enrolled in the school program provided by Family Services. These mothers are attending classes to get their GED. This record series documents the those to contact in case of emergency and also provides assessments as to the development of the child. This may be merged with the parent's file (Case Management File) when the child has left the program.</p> <p>This record series may contain the name of the child, parent, emergency contact phone #, address, age, and other directory information. May contain assessments made by staff.</p>		Merge with Parent's Case Management file when no longer a participant



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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Family Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5386	Case Management Client File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document assistance given to families by utilizing all needed services on-site and off-site in order to successfully complete programs, do post secondary training, and to become self-sufficient. This is done through contracts with the Cabinet for Health and Families as part of the Welfare for Work Program which assists those persons in obtain a GED and to become employable. Teenage mothers are given assistance through the case management service where they may obtain a GED and possible study beyond the secondary level. Those who become a part of the education component are referred by Community Based Services of the Cabinet for Health and Families. The clients may be a part of the program up to age 22.</p> <p>This record series may contain the new chance checklist, case mgt. notes, verification of transportation/Participation in education or training, list of school supplies, peer review checklist, authorization for supportive services, information card, assessments, school and work information, miscellaneous forms, payment vouchers, correspondence, sanction letter.</p>	6	Destroy

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LOCAL AGENCY RECORDS RETENTION  
SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Mayor's Training Center

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5634	Client Training/Assessment/Counseling File (C) 61.878(1)(a)	<p>This record series is used to document the recruitment, testing, screening and referral of prospective employees or trainees for businesses and industry. This includes on the job training, customized training and occupational skills assessment. Documents training for individuals including workshops given at the local community college or vocational schools and information and referral services for displaced workers. This training, assessment and counseling is provided through and made possible by grants through the Workforce Investment Act, including Welfare to Work and School to Work programs.</p> <p>This file may contain the names of individuals and businesses that participate in programs. Includes addresses, social security number, type of service rendered, amount of grant, and description of training.</p>	4	Destroy

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Social Services  
 Youth Services

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5387</b>	Social Worker Client File(Minors) (C) KRS 61.878(a)(k), KRS 610.320(3) (V)	<p>This record series is used to document services provided for children (under 18 years of age) by the CASA Project(Court Appointed Special Advocates). The advocates are volunteers appointed by the court to speak for children who through court action are deemed abused and/or neglected. These volunteers work in cooperation with other agencies and report to the court recommendations that are in the best interest of the child.</p> <p>This record series may contain progress notes, monthly service plan review, six month justification statement, correspondence, court referral, demographic form, released information authorization, authorization for involvement in activities, orientation packet receipt, aftercare/termination report, service plan reviews, service plan, intake assessment, client contact form, psychological data, special education data, court reports, legal documents, medical records, school data grades, behavior information.</p>		Destroy five years after reaching 18 years of age
<b>L5388</b>	Juvenile Probation Client File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document those youths who become a part of the Juvenile Probation and Court Serviced Program. This program conducts investigations and prepares pre-dispositional reports as ordered by the District Court. When the court places a youth on probation an order may be issued to place the person in the program where monitoring and supervision are provided. This includes development and implementation of an individualized treatment plan, drug screening, curfew monitoring, and referral to community resources. This program also provides a home detention program and develops other special programs. Only those under 18 years of age become a part of this program.</p> <p>This record series may contain the imaging screen, probation fact sheet, reason for violation/contempt, drug testing tracking sheet, probation services program steps I thru III. Terms and conditions, quarterly supervision report, statement of grievance procedure, school attendance report, correspondence, teen primary outpatient program, discharge summary.</p>		Destroy 5 years after reaching 18 years of age

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Youth Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5389	Juvenile Day Treatment Client File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document those youths who participate in the Lexington Day Treatment Center. The Center is a specialized community based program for youth between the ages of 13-17. The program has three components - education, counseling and social work services. Referrals to the program may be made by the Division of Youth Services, Department of Juvenile Justice, Cabinet for Health and Families, Fayette Co. Public Schools and other local social service agencies. The families are to attend the initial interview, participate in a twenty one day comprehensive individual treatment plan, attend treatment team meetings and participate in the 60 day review. This program works closely with the Fayette Co. school system. Usually the youth has demonstrated discipline problems(which brings about action by judicial authorities) at school. These youths are put in this program and instruction provided. All academic grades and other information will be given to the school district to become part of the youth's student record.</p> <p>This record series may contain the individual treatment plan(ITP), individual plan of instruction(IPI), initial intake info, court commitments, contract of agreement, consents to photo, video tape, etc., authorization for involvement in activities, bus/van agreement, birth report or verification and social security #, assessment data/social history, orientation treatment plan, incident reports, time out worksheets, immunization record, health clinic and screens, medication info., medication sheet, medical insurance card, weekly progress notes, 60 day review, monthly review sheets, psychological tests/evaluation, psychiatric data, release of information, correspondence, drug screens, policies/guidelines, orientation test, computer lab permission, handbook cover page, safety &amp; emergency procedures, medical and health procedures, rules and guidelines, service complaints.</p>		Destroy 3 years after youth leaves the center
L5390	Coleman House Juvenile Client Case File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document those youths who are referred to the Coleman House by police, juvenile court or Social services. These youths are in need of shelter outside of their own homes due to endangering situations such as abandonment, neglect and abuse. They also may be status offenders (wayward, truant, or incorrigible). Youth who are adjudicated as delinquent or public offenders. The program provides crisis intervention, 24 hour supervision, meals and snacks, transportation, educational and recreations activities, tutoring and emergency clothing.</p> <p>This record series may contain notification to parents, release procedure information, custody orders, consent/agreement of parent to temporary custody, client referral info sheet, court involvement info, approved visitors, termination of stay info, family background info, service and after care planning, case recording, personal property inventory, signing/sign out log, individual medication report form, medical consent and correspondence.</p>		Destroy 5 years after reaching 18 years of age

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
Social Services  
Youth Services

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5391	Adoption Records Closed Date: (C) KRS 199.570	<p>This record series is used to document adoptions that came through a previous agency (Children's Services) within Fayette County. The Kentucky Department of Welfare was the state agency that was involved in adoptions at this time. These records were inherited by Youth Services. They may be found in other places like old Dept. of Welfare files or court records but because of the possibility that this is the only copy they must be maintained permanently. These files document the adoption procedure from beginning to end.</p> <p>This record series may contain the name of adoptee, information about the adoptee family, facts about the adopting family, correspondence, court records, foster parent information, application for adoption, medical records.</p>	P	Retain
L5392	Client Medical Record File (C) KRS 61.878(1)(a) (V)	<p>This record series is used to document the medical history of those youths taking part in the program. When youths become a part of the youth services program their medical history is taken and documented. Any chronic illness are noted and all prescriptions are logged. This is used to make sure that all appropriate medications are given and that illnesses are monitored.</p> <p>This record series may contain the name of youth, age, address, telephone #, immunizations, prescriptions, medical history documentation, parents names.</p>		Destroy 6 years after reaching 18 years of age

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** September 09, 2004

**LOCAL AGENCY RECORDS RETENTION  
 SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT  
 Common Records

<b>Series</b>	<b>Records Title</b>	<b>Function and Use/Contents</b>	<b>Retention</b>	<b>Disposition Instruction</b>
<b>L5446</b>	Annual Reports of Departments, Divisions or Offices (V)	This series documents the administrative and fiscal history of each department, division, office or agency within the local government for the business year. These may be presented to the legislative body as the annual report or presented to the official office of record.  Annual compilation of department activities and statistics.	P	Retain
<b>L5447</b>	Periodic Reports of Departments, Divisions and Offices	This series documents monthly, quarterly administrative and/or economic activity for each department, division or office. These report the activities for the period indicated and are used for the purpose of tracking the work completed during that period. These reports may be routed to the executive branch, legislative branch, department head or division head and are used to produce the annual report.  Date, narrative, statistics, signature of department head, cover letter	3	Destroy
<b>L5453</b>	Minutes of Official Meetings (V)	As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.  Date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.	P	Retain
<b>L5770</b>	Minutes - Staff Meetings - (Internal meeting minutes)	This series documents the record of proceedings of internal meetings in divisions and offices. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas.  Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable	3	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5761	Audio/Video Recordings of Official Meetings Change Date: 9/11/2003	<p>This series documents the actual proceedings of public meetings held by any local government body or its entities. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again.</p> <p>Actual recording of proceedings</p>		Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. Note: If minutes are challenged, recordings should be retained until resolution.
L5449	Official Correspondence	<p>This record series documents the major activities, functions, events and programs of a local government and in addition helps in the establishment of an administrative history. It provides a record of policy evolution and formulation, how and why decisions are made, and how these decisions impacted the local government and the public at large. This series is usually created by the chief administrative officer of the local government and also by administrative heads of official departments, commissions, boards and agencies within the local government.</p> <p>This series may contain memos, letters, policy statements, surveys and other communication between the agency head and others. This may be in paper or electronic form.</p>	P	Retain
L5450	Routine Correspondence	<p>This correspondence is not crucial to the preservation of the administrative history of the agency. It is a non-policy nature and without permanent value. It deals only with general and routine operations of the office. The official operations are documented by other records maintained by the agency.</p> <p>Incoming and outgoing correspondence of a non-policy nature without permanent value. May include: form letters, notice of meetings, intra-office memorandums, and duplicates of other correspondence, when the duplicates are made for reference purposes only.</p>	2	Destroy

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

Lexington/Fayette Urban County Government  
Common Records

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5876	Nonbusiness Related Correspondence	<p>This series represents paper correspondence and email that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should destroy or delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: SPAM and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related email, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the agency's email and Internet acceptable use policy. Given the nature of email, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence.</p> <p>Nonbusiness related correspondence is incoming and outgoing correspondence that may consist of: Paper records that may be personal, unsolicited and unwanted that has nothing to do with agency business. Email that may be: (1) Personal messages: While a certain amount of personal material maybe acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system.</p> <p>(2) SPAM is the term for electronic junk mail. It is completely unsolicited and unwanted. It can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations.</p> <p>(3) Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related email from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.</p>	0	Destroy all nonbusiness related records and delete all non business related email immediately.
L5451	Informational and Reference Material	<p>Reference and informational materials are published and unpublished aids often not prepared by the urban county government itself, often of professional or technical nature, used in the official business of the local government and the agencies within the government. This includes material used in the professional enhancement of its employees. They may be destroyed when they become obsolete or are no longer of use to the various offices within urban county government.</p> <p>Published and unpublished aids used in the conduct of the agency's business or the professional enhancement of its employees. Some examples may be magazines, publications or items distributed by professional organizations and catalogs used in the purchase of equipment.</p>		Destroy when obsolete or no longer useful.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5452	Publications Created by Urban County Government	<p>This record series is created and published by urban county government. These may in the form of surveys, informational material for the public, promotional material (tourism), statistical reports, periodicals and plans.</p> <p>This record series may contain all published material produced by a local government.</p>	P	Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
L5454	Policies and Procedures (Manuals or Memorandums) (V)	<p>This record series is used to document all policies and procedures regulating the internal administrative functions of urban county government. It is updated to reflect changes in administrative regulations, policies, procedures and state, federal or local mandates. This series provides an official operating policy while active and also reflects the history of urban county government.</p> <p>This record series contains purchasing and procurement policies, internal roles, cost allocation policy, personnel policies and procedures, travel policy, meeting expense policies, investment policy, open records policy, retentions schedule, and federal and state mandates.</p>		Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
L5455	Annual Policy Guidelines (V)	<p>This series documents the policies and procedures for the administration of day-to-day business. This is reviewed annually and there may be updates and there may be nothing done.</p> <p>Date, policy statement narratives</p>	P	Retain 1 copy permanently. Destroy excess copies when no longer needed or when superseded.
L5765	Speeches by Administrative Heads - (Those written or recorded and given as a function of or in behalf of the agency)	<p>This series documents the public addresses to assemblies by administrative heads when given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency.</p> <p>Series contains: Date; duration; location; administrative head; text of speech; location</p>	P	Retain

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
<b>L5766</b>	Organizational Charts - (Record copy)	<p>This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within urban county government and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time.</p> <p>Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities</p>	P	Retain one copy of each revision in the agency. Destroy excess copies when no longer needed
<b>L5456</b>	Open Records Register (V)	<p>This series documents requests for information desired by the public or press and available through the Open Records Law.</p> <p>Date of request, requesting party name, brief description of information wanted, disposition, disposition date</p>	5	Destroy
<b>L5457</b>	Open Records Request for Inspection/Disposition Record (V)	<p>This series documents requests for information from the public, press, or other governing agency. It is a joint form that also documents approval and/or denial of information and supporting documentation.</p> <p>Date of request, requesting party name, information requested, copies needed or only viewing, disposition, supporting documentation for decision</p>	1	Destroy
<b>L5624</b>	Daily Activity Report	<p>This record series is used to document the activities of individuals, offices, divisions or departments. Can be used as a tracking instrument to keep track of all activities such as telephone calls, meetings, location of individuals, work completed, schedules and all activities within a certain area.</p> <p>This record series may contain the name of individual, work area, time, date, and summary of activities.</p>	2	Destroy
<b>L5459</b>	Itineraries/Schedules of Meetings	<p>This record series is used to document the time and place of meetings and the agendas for those meetings.</p> <p>This record series may include the time, date, place of meeting and the subjects to be covered.</p>	1	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5553	Daily Calendars	<p>This record series documents the activities of persons on a daily basis. This is used extensively while active. May be useful as a reference</p> <p>This record series may contain the date, time and activity.</p>	1	Destroy
L5462	Telephone Record/Log	<p>This record series is used to document all outgoing and incoming calls and may be used to disburse telephone expenses to other local government agencies. This file may include the extension detail and summary reports for outgoing calls and a daily listing and recap of incoming calls. In some instances this record series is used only for reference.</p> <p>This record series may contain: Date, Time, Name, Division, Extension, Date, Time, Duration, Charge, Number Called, Local or Long Distance, Place. Extension Summary Report by Division contains: Date, Time, Name, Report Period, Division, Extension, Name, Total Cost, Fixed Cost, Local Cost, Long Distance Cost, Out duration hrs./min.</p>	1	Destroy
L5461	Press Releases	<p>This press release is used to inform the public about the activities and programs of the local government and it's agencies. They may be concerning a single item or may be general in nature. They may be promotional or information-seeking.</p> <p>A narrative of time, place, event, activity, item being publicized, information sought, etc.</p>	1	Destroy
L5448	Agendas/Meeting Notices	<p>This record series is used to document that those members and other intrested parties have been notified and sent what items would be addressed at a meeting of the legislative body.</p> <p>This record series may include the date and time and the subjects to be addressed.</p>	1	Destroy
L5555	Building Sign In/Out Sheets	<p>This record series is used to document those who enter LFUCG buildings for business purposes, including employees. This is a reference to know who is in the building.</p> <p>This record series may contain the name of person, where in the building, time entering/time leaving.</p>	1	Destroy

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5554	Work Orders	<p>This record series is used to document public works or utilities service that has been rendered. These are issued as a result of customer requests, construction needs or identification of problems. This order is issued and the repairs are made or consultations with customers completed. These are routine jobs such as the filling of street problems, water problems, sewer problems, electricity problems, building maintenance of any type etc.</p> <p>This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.</p>	3	Destroy after audit
L5460	Department for Libraries and Archives Records File	<p>This record series is used to document the official relationship with the Department for Libraries and Archives concerning records retention, records disposal, records transfers, records surveys and microfilm evaluation.</p> <p>This record series may contain the signed records destruction certificate, signed records transmittal form, completed records survey and microfilm quality evaluation.</p>	P	Retain
L5464	Plans, Drawings and Blueprints (V)	<p>This record is used to document all infrastructure construction and improvements done within the local government. They are used as a reference when there is a need for information concerning buildings and projects which are still current. They also may give a structural history of the local government.</p> <p>This record contains drawings, name of architect, date of drawing, name of project or structure.</p>	P	Retain
L5466	Vehicle Maintenance Record File	<p>This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning local government vehicles.</p> <p>This record contains the name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.</p>	1	Destroy
L5467	Duplicate "Copy of Record"	<p>This record series is created/reproduced/copied for administrative convenience and distributed throughout the local government, department or agency. These are excess copies that are not recognized as the copy of record.</p> <p>This record series may contain duplicates of the copy of record regardless of the format ( paper, microfilm or electronic).</p>		Destroy when no longer useful.

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5759	Occupational and Safety and Health Act (OSHA) Records	<p>This record series is used to document that OSHA requirements have been met. These records may be logs of work related injuries and summaries of work related injuries and illnesses. Some of these are required to be posted every year.</p> <p>May include summaries of injuries and illnesses along with logs. Date and times.</p>	5	Destroy
L5760	Purchase Orders (Duplicate)	<p>These are duplicate copies of Po's sent to the Division of Accounting for payment. All offices within Urban County Government has these. These are never used past the time they are active.</p> <p>Name of vendor, contents, date, signature, description of purchase, and cost.</p>	2	Destroy after audit
L5762	Time and Attendance Record File (Division/Office Copy) (V)	<p>This record series is used to document the time worked by the employees during a specific pay period. These records may be kept by each Division, office or agency of Urban County Government. The official copy is maintained by the Division of Human Resources.</p> <p>This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.</p>	2	Destroy after audit
L5772	Leave Requests	<p>This record series is used to document requests for leave by urban county government employees. This information may be forwarded to the payroll section which will use it to compile attendance.</p> <p>Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.</p>	3	Destroy after audit

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L5771	Hiring Process Materials File	<p>This series documents the process by which decisions are reached regarding who will or will not be hired when vacant positions are filled. It provides proof of the decisions made. It provides information on all aspects of the process including any notations that are written on applications or any written response to interview questions. If the interview is conducted in a panel format, all written comments by interviewers, including copies of the actual interview questions should be collected and retained. It also includes any information received from the applicant that directly relates to the decision that is reached. Such information would include leave balances, copies of evaluations, resumes, and recommendations for employment, as well information provided when references are checked. Information from the series would be needed in the event of any legal action regarding the hiring process.</p> <p>Series may contain: All written comments; interview questions; job advertisements; job postings; resumes; leave balances; copies of evaluations; written recommendations for hiring; and any other information that directly relates to the hiring process</p>	5	Destroy
L5767	Photographic File	<p>This series documents agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.</p> <p>Series contains: Photographs and accompanying explanatory materials and finding aids.</p>	P	Retain the material that has to do with Urban County Government. Duplicates may be destroyed if not needed by other agencies.
L5468	Surveillance Video/Audio Recordings	<p>This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws.</p> <p>Video of a certain area of the facility or the outside of the facility.</p>	30 days	Destroy or re-use if no litigation is pending.
L5768	Newspaper Clipping File	<p>This series documents various articles or news items clipped from newspapers related to the conduct of agency business. It is most usually used for reference purposes.</p> <p>Series may contain: date; names of newspapers; articles related to agency function</p>		Destroy when no longer useful

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Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6288	Property Ownership and Disclosure Form (V)	<p>This record series is used to document the ownership of real property in Fayette County by employees (and their immediate family members) of the Divisions of Building Inspection, Code Enforcement, Engineering, Planning and Fire Prevention Bureau in accordance with CAO policy 23R and to ensure that ownership is in compliance with that policy.</p> <p>The record series may contain the address of each property, name of the owner of record (as recorded in the PVA office) and the names of any other individuals having an interest in the property. If the employee manages, oversees the management or maintenance of, or has an ownership interest in any business which manages or maintains any property in Fayette County. It must also include a description of his or her duties.</p>	5	Destroy